

REGULATIONS

relating to

PHD PROGRAMMES

[In accordance with the University Grants Commission (Minimum Standard and Procedure for Award of PhD Degree) Regulations, notified in the Gazette of India No. 544 Part-III-Section 4 dated November 7, 2022]



KAZI NAZRUL UNIVERSITY
ASANSOL, PASCHIM BARDHAMAN

with effect from

Academic Session 2023-2024



Regulations relating to PhD Programmes

[Approved by the Executive Council of the University in its meeting held on 08/02/2024]

In exercise of the powers conferred upon it by clause (18) of Section 4 and clause (xvii) and (xx) of Section 21 of the Kazi Nazrul University Act, 2012 (West Bengal Act XIX of 2012) read with its up-to-date amendments and The West Bengal Universities Laws (Amendment) Act 2011, hereafter in these Regulations referred to as ‘the Act’ and the relevant provisions of the University Statute relating to PhD Programmes, the University makes the following Regulations, namely:

THE UNIVERSITY REGULATIONS RELATING TO PHD PROGRAMMES

Reg 1. Title, Application and Commencement:

These regulations may be titled as ***Regulations relating to PhD Programme, KNU, 2022***. These shall apply to every candidate applying for admission, and subsequent registration, the programme and conferment of PhD Degree. **These shall come into force with effect from 2023-2024 as approved by the Executive Council of the University.** Notwithstanding anything contained in any other Rule or Regulation for the time being in force, all admissions, and subsequent registrations, course works and conferment of Degree shall be guided by these regulations framed as per the guidelines of the University Grants Commission (Minimum Standards and Procedure for Award of PhD Degrees) Regulations, 2022.

Reg2. Definitions:

In this regulation the following definitions have been incorporated:

- 2.1. “**Act**” means Kazi Nazrul University Act, 2012.
- 2.2. “**University**” means the Kazi Nazrul University established and incorporated under the Kazi Nazrul University Act, 2012 (West Bengal Act XIX. of 2012).
- 2.3. “**Commission**” means the University Grants Commission established under Section 4 of UGC Act of 1956.
- 2.4. “**Affiliated College**” means Non-Government College/ State-aided College / Government Collegeaffiliated to this University.
- 2.5. “**Master's degree**” means 1-year/2-semester master’s degree programme after a 4-year/8-semester bachelor’s degree programme or a 2-year/4-semester master’s degree programme after a 3-year bachelor’s degree programme or qualifications declared equivalent to the master’s degree by the corresponding statutory regulatory body.
- 2.6. “**Academic Session**” means academic year from July of a year to June of the next year.
- 2.7. “**Year**” means the period commencing on 1st day of July of a year and ending on 30th June of the next year.
- 2.8. “**Course**” means one of the specified units which go to comprise a programme of study.
- 2.9. “**Semester**” means a period of six months beginning from 1st day of July to 31st day of December and 1st day of January to 30th day of June of each academic session containing 90



actual teaching days.

2.10. “**Coursework**” means courses of study prescribed by the Department/School/Centre to be undertaken by a student registered for PhD Degree.

2.11. “**Degree**” means a degree awarded by a Higher Educational Institutions in accordance with the provisions laid down by UGC/AICTE/Other Statutory Body.

2.12. “**Credit**” means the unit by which the course work is measured. It is equivalent to one hour of teaching(Lecture or Tutorial) or two hours of Practical work/Field work per week in an academic calendar for a semester. The mechanism for computation of credit in the form L-T-P (Lecture -Tutorial -Practical) is as follows:

1 Lecture Hour (L) = 1 Credit

1 Tutorial Hour (T) = 1 Credit

2 Practical/Field Hours (P/F) =1 Credit

2.13. “**Academic Calendar**” means a period of ninety days (90) of teaching in a semester commencing on the first working day of July/January of a year and ending on the last working day of December/June of the same year.

2.14. “**Letter Grade**” means an index of the performance of students in a course. Grades are allotted by letters E, A, B, C, D, P and F.

2.15. “**Grade Point**” means a numerical weight allotted to each letter grade on a 10 point scale.

2.16. “**Credit Point**” means the product of grade point and number of credits for a course.

2.17. “**Semester Grade Point Average (SGPA)**” refers to a measure of performance of a student in a semester. It is the ratio of total credit point secured by a student in various examinations appeared in the courses of a semester and the total course credits taken during that semester. It shall be expressed up to two decimal places.

2.18. “**Grade Card or Transcript**” means a certificate issued to all examinees after every semester displaying the course details along with SGPA of that semester.

2.19. “**Cumulative Grade Point Average (CGPA)**” refers to a measure of cumulative performance of students over all semesters. It is the ratio of total credit point secured by a student in various examinations appeared in the courses in all semesters and the sum of the total credits of all courses in all semesters. It is also expressed up to two decimal places.

2.20. “**Enrol**” means enrolment of a student in Ph.D.

2.21. “**Executive Council**” means the Executive Council of Kazi Nazrul University.

2.22. “**Court**” means the Court of the Kazi Nazrul University.

2.23. “**Board of Research Studies (BRS)**” means the Board of Research Studies (BRS) of Kazi Nazrul University. It shall be formed as stated below:

- Dean of the concerned Faculty of Post Graduate Studies as Chairperson
- Head/Coordinator as Convenor (Head/Coordinator without a PhD degree will not enjoy voting right)
- At least two external experts not below the rank of a Professor with PhD degree and
- All faculty members having PhD degree.



2.24. “**Research Advisory Committee (RAC)**” means the Research Advisory Committee (RAC) of Kazi Nazrul University.

2.25. “**Adjunct Faculty**” means a part-time or contingent instructor, but not full time faculty members hired to teach by the University.

2.26. “**External Examiner**” means an academician/researcher with published research work who is not part of the Higher Educational Institution where the PhD scholar has registered for the PhD programme.

2.27. “**PhD**” means Doctor of Philosophy in any discipline from a recognized University.

2.28. “**Guide/Research Supervisor**” means an academician/researcher recognized by Higher Educational Institution to supervise the PhD scholar for his/her research.

2.29. “**Interdisciplinary Research**” means research conducted by a PhD scholar in two or more academic disciplines.

2.30. “**Online Mode**” shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.

2.31. “**Plagiarism**” means the practice of taking someone else’s work or idea and passing them as one’s own.

2.32. “**Programme**” means a higher education programme pursued for a degree specified by the Commission under Sub-Section (3) of Section 22 of the Act.

2.33. “**Prospectus**” means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and Programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions.

2.34. “**Research Proposal**” means a brief write-up giving an outline of the proposed research work which the PhD scholar shall submit along with the application for registration for PhD programme.

2.35. The Works and Expressions used but not defined shall be interpreted to have the same meaning as they have in Kazi Nazrul University Act and first Statutes.

Reg 3. Eligibility Criteria for Admission to PhD Programme in various academic departments and centres:

Subject to the conditions stipulated in these Regulations, the following candidates are eligible to seek admission to the PhD programme who has completed:

3.1. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

Or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

3.2. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

3.3. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

3.4. Candidates who have completed the M.Phil programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the PhD programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Reg 4. Duration of the Programme, Registration, Title Registration and Re-registration:

4.1. PhD programme shall be for a minimum duration of three (3) years, including course work and a maximum duration of six (6) years from the date of admission to the PhD programme.

4.2. The date of enrolment shall be deemed to be the date of admission taken by the successful candidates. A PhD candidate will be considered as Registered from the date of enrolment.

4.3. A candidate selected for enrolment for PhD programme shall be issued with an Enrolment Certificate stating his/her name, subject for his/her PhD programme, date of enrolment, and name(s) of supervisor(s). The Enrolment Certificate is to be issued by the Registrar of the University.

4.4. A PhD student will be required to complete registration of the title of his/her thesis within two year from the date of his/her completion of coursework, failing which his/her admission in the PhD programme shall stand cancelled.



4.5. Application for title registration will be considered by the relevant Board of Research Studies at its meeting in the presence of the Supervisor and the Joint Supervisor, if any. The PhD scholar is required to present his/her synopsis in about one thousand (1000) words before the Board of Research Studies. On the recommendations of the Board of Research Studies concerned and with due approval of the Dean of the concerned Faculty, the title of the dissertation/title of the thesis a candidate will be allowed to be registered provisionally for the PhD degree. The University shall maintain the list of all the PhD 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 and Joint supervisor, if any, date of enrolment/registration.

The following documents need to be submitted to the PhD Cell through the department at the time of **Title Registration**:

1. Enrolment Certificate (NOC, in case of employed part-time scholars, will have to be submitted during admission).
2. Coursework Completion/Exemption Certificate.
3. Fees Clearance Document.
4. Relevant BRS resolution regarding finalization of title of the Thesis.

4.6. If the Board of Research Studies (BRS) does not consider a Synopsis/Plan of work as fit for recommendation, the RAC will revise it and will place it within three months from the date of the last Board of Research Studies (BRS) meeting in this regard before Board of Research Studies (BRS) after proper revision by the candidate in the light of the suggestions made by the relevant Board of Research Studies (BRS). If, even after this revision of the content, the Board of Research Studies (BRS) does not recommend the case, the matter shall be placed before the Dean of the concerned Faculty for necessary action.

4.7. Ordinarily, a PhD student will be registered for a PhD programme in a subject in which the candidate has obtained Master's Degree. In case a candidate applies for PhD registration in a subject other than in which he/she has obtained Master's degree, admission will be decided by the Board of Research Studies(BRS) of the subject in which the candidate desires to be registered for PhD programme.

4.8. In all cases, the registration of a candidate for PhD programme shall remain valid for a period of six years from the date of enrolment. In case of failure to submit the thesis within the stipulated time, a Ph. D. student shall have to apply for re-registration before expiry of the tenure of the existing registration to the Registrar through the Supervisor and the Board of Research Studies (BRS). Usually, a student will be allowed to be re-registered for once only, provided the Supervisor agrees to this registration or the Board of Research Studies (BRS) makes an alternative arrangement. The continuity of the research work will, however, be maintained and the candidate will be exempted from other procedural formalities if completed earlier. Re-registration will be allowed only on the recommendation of the supervisor(s), RAC of the scholar and the BRS. After the application of the scholar seeking re-registration gets approval of all these step-by step, after due consideration of the grounds on which Re-registration is sought, placed before the Vice Chancellor for final approval. In case of re-registration, the scholar has to pay the total PhD fees again, excepting the coursework fees. The application will be provided.

4.9. The validity of re-registration will be of two (02) years from the date of re-registration which will be deemed to be the next date of expiry of the preceding PhD registration,



4.10. A maximum of an additional two (2) years can be given through a process of re-registration. However, that the total period for completion of a PhD programme should not exceed eight (8) years from the date of admission in the PhD programme. Provided further that, female PhD scholar and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years, however, the total period for completion of a PhD programme in such cases should not exceed ten (10) years from the date of admission in the PhD programme.

4.11. The title of the thesis and the synopsis may be modified till the scholar presents the Pre-submission seminar, if necessary, by the candidate and duly forwarded by the Supervisor with due concurrence of the concerned Board of Research Studies (BRS) on the recommendation of Research Advisory Committee.

4.12. If after enrolment, a change of Supervisor or of Joint Supervisor or of both is considered necessary, the candidate/ the Supervisor/Joint Supervisor may apply to the HOD/Coordinator/Dean (Where HOD/Coordinator is a candidate/ the Supervisor/Joint Supervisor). The Head of the concerned Department will forward such applications along with necessary documents to the Board of Research Studies (BRS) for consideration.

4.13. In the event of the death of a Supervisor or Joint Supervisor, if any, the Board of Research Studies (BRS), on being requested by the student, shall recommend another recognized Supervisor for supervision of the research work.

4.14. In case a Supervisor leaves this University to join any other institution after completion of the lien period, the research scholar should be allocated a Co-Supervisor from the University approved by the Board of Research Studies (BRS).

4.15. Female PhD scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the PhD programme.

Decision regarding re-registration or any special extension is the sole discretion of the Vice Chancellor on the recommendation of the concerned supervisor, RAC of the scholar and the Board of Research Studies (BRS).

Reg 5. Procedure for Admission:

5.1. 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/regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.

5.2. Admission to the PhD programme shall be made using the following methods:

5.2.1. Admission of candidates who have qualified in UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SET/SLET/GATE/JEST/CEED awarded Teacher Fellowship or have passed M.Phil or equivalent programme will be based on an interview.

5.2.2. Admission of all other candidates will be through an Entrance Test conducted by the University and the Entrance Test syllabus shall consist of 50% of Research Methodology and 50% shall be Subject Specific. Students who have secured 50% marks in the entrance test are eligible to be called for the interview.

5.2.3. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

5.2.4. University may decide the number of eligible students to be called for an interview based



on the number of PhD seats available.

5.2.5. Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70% for the entrance test and 30% for the performance in the interview/viva-voce shall be given. The examination system should be approved by the concerned BRS. The Interview Board will consist of

1. Head/Coordinator (in case the Coordinator does not have PhD degree, the seniormost faculty of the Department having PhD Degree- Chairman)
2. Two external experts not below the rank of Professor to be nominated by the BRS.
3. All other faculty members having PhD Degree.

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

- the candidate possesses the competence for the proposed research
- the research work can be suitably undertaken at the University
- the proposed area of research can contribute to the existing domain of knowledge on the subject.

5.2.7. University will decide on an annual basis through the decisions taken in the Departmental BRS meeting a predetermined and manageable number of PhD scholars to be admitted depending on the number of available Research Supervisors and other academic and infrastructural facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in Para 8.5), laboratory, library and such other facilities.

5.2.8. University will notify a prospectus well in advance in the institutional website and through advertisement in at least two (2) national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidate.

5.2.9. University will adhere to the National/State-level reservation policy, as applicable.

5.2.10. The PhD cell working under the Registrar's Department of the University shall maintain a list of PhD supervisors (specifying the name of the supervisor, his /her designation, and the department/school/centre), along with the details of PhD scholars (specifying the name of the registered PhD scholar, the topic of his/her research and the date of admission) admitted under them and the same is to be upload on the website of the University and update this list every academic year.

5.2.11. Foreign students will be required to produce clearance from the Government of india and/or other appropriate authorities, if any, for admission to the PhD programme. Enrolment in the PhD programme may be allowed to only such foreign nationals as have obtained and are holding research visa after fulfillment of other admission criteria.

Reg 6. Allocation of Research Supervisor and Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of PhD scholars permissible per supervisor, etc.:

6.1. Permanent faculty members working in the University as Professor/Associate Professor of the University or its affiliated PG Colleges/Institutes with a PhD and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in the University or its affiliated PG colleges with a PhD and at least three research publications in peer-reviewed or refereed journals may be recognized as an

empanelled Research Supervisor of the University in the subject provided his/her application in this regard is approved by the concerned Board of Research Studies (BRS) PhD awarded by a University under the supervision of a full time faculty member who is not an employee of the University or its affiliated PG Colleges/Institutes would be in violation of these Regulations. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8)/six (6)/four (4) PhD scholars, respectively at any given time. A supervisor can declare 01 (one) seat vacant under his supervision only when one registered scholar under his supervision has submitted his/her PhD thesis to the PhD Cell following the requisite formalities.

6.2. There will be only one (1) BRS for each subject. The BRS will be based in the University. Teachers from affiliated PG colleges willing to supervise PhD scholars will send their bio-data through the Principal/TIC of the college to the Registrar who in turn will forward the application to the BRS of the concerned department for review. Review results in the form of recommendation if any will be sent to the Vice Chancellor for final approval. In any case, the maximum number of scholars an affiliated college teacher can take at a time are: Assistant Professor=01, Associate Professor=02.

6.3. Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor at the recommendation of the concerned Board of Research Studies (BRS) with reasons recorded in writing.

6.4. Joint/Co-Supervisors from within the same department or other departments of the same University may be permitted with the approval of the concerned Board of Research Studies (BRS) on the recommendation of RAC (Research Advisory Committee).

6.5. In case of interdisciplinary/multidisciplinary or collaborative research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed subject to the approval of the concerned Board of Research Studies (BRS).

6.6. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

6.7. In case of relocation of a female PhD scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

6.8. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise PhD scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

Reg 7. Admission of International Students in PhD Programme:

(1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of PhD scholars as specified.

(2) The University may decide their own selection procedure for PhD admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

Reg 8. Board of Research Studies (BRS): Constitution and Functions:



8.1. Board of Research Studies (BRS) of each post graduate academic department/centre for PhD programme shall be constituted as stated below:

- Dean of the concerned Faculty of Post Graduate Studies as Chairperson
- Head/Coordinator as Convenor (Head/Coordinator without a PhD degree will not enjoy voting right)
- At least two external experts not below the rank of a Professor to be nominated by the Vice Chancellor from a list of 5 names approved by the Departmental Committee and;
- All faculty members having PhD degree.

The duration of Board of Research Studies (BRS) will be 4(four) years from the date of its constitution. One third of the total number of members of the BRS having voting rights plus one shall be a quorum for a meeting of Board of Research Studies (BRS). However; no quorum shall be required for an adjourned meeting.

In case, PhD program is offered by a PG department of an affiliated college (with the permission of the University) and there is no corresponding PG department in the University, the BRS shall be constituted as stated below:

- Dean of the concerned Faculty of Post Graduate Studies as Chairperson.
- Head of the concerned PG department in the college if he has a PhD degree. In case the Head does not have a PhD degree the seniormost faculty of the concerned department having a PhD degree will be a member in his place-Convenor. In case there is no full-time permanent faculty in the parent department of the University, Dean of another faculty will replace the head and in that case, the Registrar will be the convenor of the BRS.
- At least two external experts not below the rank of Professor to be nominated by the Vice Chancellor.
- One more member to be nominated by the Vice Chancellor.
- No meeting of the BRS can be convened without the presence of at least one external expert.

8.2. The functions of the Board of Research Studies (BRS) shall be as under:

General Functions:

- To formulate policy on all research related matters keeping conformity with the vision and mission of the University
- To frame and oversee the implementation of policy on research ethics
- To monitor the relevance and efficacy of established policy – addressing shortcomings and anomalies so as to facilitate high quality research activities within the University and its affiliated Colleges
- To oversee quality assurance and improvement measures in respect of research activity including the efficacy of research quality measures
- To review Annual Report prepared by the concerned department relating to research matters and to make recommendations to the Faculty Council.
- To ascertain and to evaluate the financial aspect of the research proposal, if any and to recommend the financial requirements of the research work.
- To establish Advisory Committees and Working Groups as required developing and



overseeing policy in respect of research matters.

Specific Functions:

- To recommend Curriculum and Syllabus prescribed for PhD course work including credit hour instructional requirement and specification
- To approve the duration of the PhD programme
- To recommend Exemption of Coursework
- To evaluate and recommend Research Proposal after proper scrutiny
- To assign Research Supervisor/ Co-supervisor/Joint Supervisor to supervise the research work of the research scholars
- To recommend Relocation, change of Supervisor, Co-Supervisor or of Joint Supervisor
- To recommend assessment methods
- To recommend the decisions taken by RAC
- To recommend Registration, Cancellation of Registration and Re-registration
- To recommend modification of the title of the thesis and the synopsis
- To recommend Board of Examiners and Submission of Dissertation

Reg 9. Course Work: Credit Requirements, Number, Duration, Syllabus, Minimum standards for completion etc.:

9.1. The credit assigned to the PhD course work shall be a minimum of 12 credits including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018 (Journal/CARE) in 2019 and a Research Methodology course. The Research Advisory Committee can also recommend UGC recognised online courses as part of credit requirement for the PhD programme.

9.2. The course work shall be treated as prerequisite for PhD programme. All candidates admitted to the PhD programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.

9.3. Candidates having successfully completed PhD Coursework from other recognized university or institutions of Higher Education will be exempted from the PhD Coursework. Completion certificate of such candidates should not be more than 2(Two) years old. In regard to additional Coursework to be done by a candidate, if required, the decision of the RAC will be final.

9.4. All courses prescribed for PhD course work shall be duly approved by the Board of Research Studies (BRS).

9.5. For each enrolled scholar, the BRS of the concerned department shall approve of the course(s) from the concerned department or other departments based on the recommendations of the Research Advisory Committee as stipulated under sub-Clause 11.1, 11.2 and 11.3 below, of the research scholar.

9.6. A PhD scholar has to obtain a minimum of 50% of marks or its equivalent grade in the UGC 10-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.



Reg10. Research Advisory Committee: Eligibility and Functions:

10.1. There shall be a Research Advisory Committee (RAC) or an equivalent body for each PhD scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. A Research Advisory Committee (RAC) shall consist of at least 3 (three) and at most 5 (five) members.

The Research Advisory Committee (RAC) will consist of:

- a) The Head of the concerned department /Dean of the concerned faculty in absence of Head
- b) Supervisor(s)
- c) Other members of the Committee (Internal or External) to be declared by the Supervisor

10.2. Research Advisory Committee (RAC) shall have the following responsibilities:

- To review the research proposal and finalize the topic of research;
- 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.
- To review periodically and assist in the progress of the research work of the research scholar.
- A research scholar shall appear before the Research Advisory Committee (RAC) once in each semester to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee (RAC) to the Board of Research Studies (BRS) with a copy to the research scholar.
- In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee (RAC) may recommend to the BRS with specific reasons for cancellation of the registration of the research scholar.
- One third plus 1 (one) of the regular members of a Research Advisory Committee (RAC) will constitute the quorum of the meeting. If two consecutive meetings fall through due to lack of quorum, the matter will be reported to the Convener of the BRS by any member of Research Advisory Committee (RAC)/ by the candidate and the Board of Research Studies (BRS) will take necessary action.

Reg11. Evaluation and Assessment Methods, Minimum standards/Credits for award of the degree, etc.:

11.1. Upon satisfactory completion of coursework, the PhD coursework and obtaining the grade/marks, the PhD Scholar shall be required to undertake research work and produce a draft dissertation/thesis.

11.2. Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department with prior approval of the BRS before the Research Advisory Committee (RAC) of the University concerned, 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. The thesis will have to be submitted within six

(06) months of this pre-submission seminar.

11.3. The PhD Committee of the University shall evolve 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 and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

11.4. For PhD the candidate shall submit three (four, in case there is a Joint Supervisor) typed written or printed copies, having print on one side of a page, of the thesis along with electronic version (CD in prescribed .pdf Format) attached to each copy of the thesis and also an extra copy of electronic version.

11.5. The candidate shall also deposit the requisite fees as decided upon by the University, along with a prescribed form duly filled in by the candidate, a certificate from the Supervisor and Joint Supervisor, if any, as well as attested copies of necessary documents at the time of submission of the thesis.

11.6. The candidate may also submit in support of the thesis the contents of any work which may have been done previously by him /her, but the candidate shall not submit any work for which a degree or distinction has been conferred on the candidate by this or by any other University.

11.7. Documents to be submitted to the PhD Cell while submitting the thesis for adjudication:

- a) 4 Copies of thesis along with 4 Synopses, 4 Soft copies. Each thesis should contain, among other things, Plagiarism-check Report, Declarations by the scholar and the Supervisor.
- b) Clearance from Library, Finance Department and Department to which the scholar belongs.
- c) Certificate from the Dean, regarding delivery of the Pre-submission Lecture.
- d) Necessary publications and Certificates of seminar presentation (as stipulated in KNU-PhD Regulations).

11.8. The PhD thesis submitted by a PhD scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. These two external adjudicators (one from within the State and other from outside the State and not below the rank of Associate Professor) will be nominated by the Vice Chancellor usually from a panel of 03 adjudicators from within the State and 02 adjudicators from outside the State submitted by the supervisor, (along with their contact numbers and email id) approved by the BRS and presented to the Vice Chancellor through the Dean of the respective Faculty. The Vice Chancellor may also use his own discretion and appoint adjudicators from outside the panel, if he feels it absolutely necessary.

11.9. After receiving the copies of the thesis, relevant documents from the scholar and the list of the adjudicators from the Dean of concerned faculty, the Registrar's department (PhD Cell) will contact the adjudicators for their consent, and after receiving consent, send the soft



copy/hard copy of the thesis to them with a request to send the report within three months from the receipt of the thesis by the adjudicators in the format sent alongwith the thesis.

11.10. The open viva-voce of the candidate to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis finds the thesis satisfactory and include a specific recommendation for conducting the viva-voce examination. In case of PhD thesis, is unsatisfactory and does not recommend viva-voce, the University shall send the 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 finds the thesis satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

11.11. At the viva-voce, the candidate shall be examined by the Supervisor and the Joint Supervisor (if there is any) and an expert to be appointed by the Vice-Chancellor from the two external examiners of the thesis for PhD programme. Copies of reports of the adjudicators on the written part of the thesis shall be sent to the examiners conducting the viva-voce prior to the viva-voce. Viva-voce may be conducted through video conferencing if extremely unavoidable.

During viva-voce, the candidate shall respond to the queries, if any, made by the examiners, which will be forwarded by the Viva-voce examiners to the Registrar along with the viva-voce report.

11.12. The viva-voce examination, shall be based, among other things, on the critiques given in the evaluation report and shall be open to be attended by the members of the Board of Research Studies (BRS), all faculty members of the Department, other research scholars and other interested experts/researchers.

11.13. The examiners of the viva-voce shall jointly submit a report to the Registrar (PhD Cell) on the performance of the candidate at the said examination, clearly indicating whether the candidate deserves to be awarded the PhD Degree. If the candidate fails to satisfy the examiners at the viva-voce, the candidate shall be allowed by the Vice Chancellor to appear again at a viva-voce within a period of three months from the date of the first viva-voce.

11.14. After considering the reports on the thesis and the viva-voce the Court of the University will ceremonially confer PhD degree to candidate. However, the Vice Chancellor can approve the issue of provisional certificate to the scholar and report such cases in the subsequent EC meeting. The date of the scholar's successful defence of his thesis in the viva-voce will be considered as the date of the award.

Reg12. Coursework Examination and Results:

12.1. Coursework Examinations will be conducted by the department of Controller of Examinations.

12.2. Exam. Regulations of the University regarding conducting of the PG Examinations, Paper Setter & Moderation of question papers, Grade Points, system of Review of Exam scripts, Compensatory time for differently abled candidates and other relevant issues will apply for the Coursework Exam as well.

12.2.1. Grading on 7 point scale



Based on the performance of students, each student will be awarded **Grade Point** at the end of each semester following six point grading system. The letter grades and the corresponding grade points are as follows:

| Classification of GRADE | GRADE | % of Marks | Grade Point |
|-------------------------|----------|---------------|-------------|
| Excellent | E | “90” to “100” | 10 |
| Very Good | A | “80” to “<90” | 9 |
| Good | B | “70” to “<80” | 8 |
| Above Average | C | “60” to “<70” | 7 |
| Average | D | “50” to “<60” | 6 |
| Pass | P | “40” to “<50” | 5 |
| Fail | F | “0” to “<40” | 0 |

**Further there shall be another grade ‘I’ (with Point 0) for students for whom disciplinary actions remain pending.*

12.2.2. Semester Grade Point Average (SGPA) and Cumulative Grade Point Average (CGPA)

The Semester Grade Point Average (SGPA) will be computed in each semester as per the following formula

$$SGPA = \frac{\sum_{i=1}^n C_i G_i}{\sum_{i=1}^n C_i}$$

C_i = The number of credits allotted to a particular course

G_i = Grade points corresponding to the grade awarded for the course

$i = 1, 2, \dots, n$ represent the number of courses in which a student is registered in the concerned semester.

The SGPA is rounded off to two decimal places.

The Cumulative Grade Point Average (CGPA) will be computed at the end of each semester as per the following formula

$$CGPA = \frac{\sum_{i=1}^n C_i S_i}{\sum_{i=1}^n C_i}$$

* C_i = Total credits of the corresponding semesters

S_i = SGPA of the corresponding semesters

$i = 1, 2, \dots, n$ represent the number of courses in which a student is registered in the concerned semester.

The CGPA is rounded off to two decimal places.

12.2.3. Illustration of SGPA & CGPA



Illustration: Semester Grade Point Average (SGPA)

| Course | Credit | Letter | Grade Point | Credit Point |
|--------------|--------------------|--------|--------------------|------------------------------------|
| | (C _i) | Grade | (G _i) | (C _i X G _i) |
| CC – 1 | 4 | E | 10 | 40 |
| CC – 2 | 4 | A | 9 | 36 |
| Total | 8 | | | 76 |

$$\text{Thus SGPA (S}_i) = \sum (C_i \times G_i) / \sum C_i = 76/8 = 9.50$$

Illustration: Cumulative Grade Point Average [CGPA]

| Semester 1 | Semester 2 |
|------------|------------|
| Credit 8 | Credit 8 |
| SGPA 9.50 | SGPA 7.80 |

$$\begin{aligned} \text{CGPA} &= \sum (*C_i \times S_i) / \sum *C_i = 8 \times 9.50 + 8 \times 7.80 \\ &= (76.00 + 62.40)/16 \end{aligned}$$

$$\text{Thus, CGPA} = \sum (*C_i \times S_i) / \sum *C_i = (76.00 + 62.40)/16 = 8.65$$

12.2.4. Conversion of SGPA/CGPA into Percentage Marks

In case of a specific query by students/employers regarding conversion of SGPA/CGPA into percentage marks, the under mentioned formula is to be adopted:

The formula is: % of Marks = SGPA/CGPA x 10

12.2.5. A student failing to get pass marks in one or more course(s) in Semester Examinations shall be permitted to re-appear in that course(s) in respective semester examinations once more. A student failing to appear in a semester examination of a course or of a part of the course may reappear in that course or in the part of the course in the respective semester examination(s) only once. If a student wishes to skip examination in a semester it would be included in the stipulated two chances. Students who skip 1st/2nd Semester Examination will be eligible to clear those course(s) in the respective Semester Examinations of subsequent years (i.e. 1st Semester with the 1st Semester of the subsequent year, 2nd Semester with the 2nd Semester of the subsequent year and so on).

12.2.6.: *Compensatory time for Person with Disability (PWD) Candidates*

12.2.6.1 PWD Candidates will be provided an extra time of 20 minutes for every hour of examinations subject to maximum limit of one hour as Compensatory time.

12.2.6.2 PWD Candidates will be allowed the use of a scribe (amanuensis) who holds lesser qualification than the candidate. Scribe is allowed to candidates (i) who have disability in the upper limbs or have loss of finger /hands thereby preventing them from writing or, (ii) who are blind or have impaired vision or, (iii) who are dyslexic or, (iv) who are autistic or, students who have some other kind of deficiency which the University authorities consider to be acceptable for getting scribes.

12.2.6.3 If a PWD candidate wants to avail compensatory time or scribe he/she must apply with all relevant documents to the Head/Coordinator during form fill up of each semester



examination and the same application be forwarded by the Head/Coordinator to the Controller of Examinations in due time along with necessary documents.

12.2.6.4 In case, if it is found that a candidate has used the service of a scribe and/or extra time but does not possess the extent of disability that warrants of use the service of a scribe and/or extra time, he/she will be excluded from the process of evaluation and legal action may be initiated by the authority in this regard.

12.2.9: Breach of Discipline by any Examinee in connection with University Examination

12.2.9.1: The Centre-in-Charge of any University Examination held at a centre will on his/her own or on the basis of reports received from the invigilator(s)/members of the visiting team as may be constituted by the Controller of Examinations and duly approved by the Vice-Chancellor expel a candidate from the examination hall debarring him/her from appearing in the examinations of the remaining subject(s)/paper(s), if the candidate is found copying or possessing any paper, book or such other incriminating material(s) or smuggling written answer scripts/loose sheets from outside. On expulsion, he/she will be debarred from appearing at the rest part of the examination and his/her paper on the day/ entire examination will be treated as cancelled.

12.2.9.2 Signature(s) of each of the expelled candidates should be obtained on the incriminating document(s) found in his/her possession and the same must be attached to the main answer script(s). If a candidate refuses to put his/her signature on the incriminating document(s) the invigilator(s)/members of the visiting team will certify the matter and the Centre-in-Charge will take immediate action on the basis of the certificate/report of the room invigilator(s)/members of the visiting team.

12.2.9.3 If, however, in the judgment of the Centre-in-Charge, a candidate is found to have committed an offence of a more serious nature, e.g., impersonation, use of filthy languages, undisciplined behaviour, threatening the persons connected with the examination duties and such other activities inside and outside the examination hall/room, the Centre-in-Charge will expel the candidate debarring him/her from appearing in the examination(s) of the remaining subject(s)/paper(s) and send to the Controller of Examinations a list of such candidates along with their answer scripts and a detailed report on the circumstances leading to the action taken by the Centre-in-Charge in a separate packet for record and for placement before the Committee of Discipline for further action.

In such cases as detailed in above paragraph the *Disciplinary Committee* duly constituted by the Vice-Chancellor may note the action, if already taken by the Centre-in-Charge, but will not lessen the penalty already given by the Centre-in-Charge. The *Disciplinary Committee*, however, may recommend further penal action to be taken against such candidate(s). If the Centre-in-Charge, instead of taking any action against such a candidate, forward the case along with the detailed report the *Disciplinary Committee* may take penal action as it may deem fit.

12.2.9.4 When the Centre-in-Charge expels any offending candidate from the examination hall, as referred to in the rules above, the order/notification regarding such expulsion shall forthwith be circulated in all the examination halls by the Centre-in-Charge. Such order/notification shall



provide that the offending candidate shall be debarred from appearing in the remaining subject(s)/paper(s). Such order/notification should be pasted on the Notice Board and a copy of the same along with the answer scripts and other documents are to be sent to the Controller of Examinations for subsequent issuance of order/notification including order of cancellation of the entire examination of the candidate(s), to the concerned college for its implementation.

12.2.9.5 If the candidates are found to consult or talk with each other or change their scheduled seats or exchange answer-scripts/loose sheets etc. during an examination in spite of warnings by the Centre-in-Charge/room invigilator(s), the Centre-in-Charge shall report the matter in details to the University against the concerned candidates together with the relevant answer scripts for placement before the Committee of Discipline.

12.2.9.6: An examiner may forward to the Controller of Examinations of the University through the chairperson of the concerned examination or to the Controller of Examination directly if there is no chairperson in the concerned subject an explanatory report along with the relevant answer script(s) of the candidate(s) for placement of the same before the ***Disciplinary Committee*** if, in his/her judgment, the candidate/candidates has/have adopted unfair means in answering questions.

12.2.9.7: If an examinee uses filthy languages against the Centre-in-Charge/Invigilators or Convener/Member(s) of the Visiting Teams or any person connected with the examination or resorts to indiscipline behaviour inside or outside the examination hall or undertakes any unfair means or violates the instructions for the examinees, the Centre-in-Charge may send his/her answer-script of that paper along with a report from the Invigilator(s) with his comment, if any. However, in such case, the examinee will be allowed to sit for the examination in the remaining paper(s)/subject(s).

12.2.9.8: Non-Submission of Scripts: If an examinee appears at the examination but does not submit his/her answer-script, the matter should be noted in the Attendance Sheet. ***A FIR should be lodged on the day with the local police station.*** A report along with a copy of the said Diary and a statement from the Invigilator of the concerned examination hall must be sent by the Centre-in-Charge to the Controller of Examinations.

12.2.9.9: Torn Scripts: In case of a script being wilfully torn by a candidate, the fact should be noted in the Attendance Sheet(s) and a report should be sent by the Centre-in-Charge to the Controller of Examinations in a separate packet along with the torn script and a statement from the Invigilator of the concerned examination hall stating the circumstances leading to the incident.

12.2.9.10: Report on R.A. cases from any quarter should always be supported by documentary evidence or statement of the reporting concerned authority. Without such documentary evidence/statements disposal of the matter cannot be taken up.

12.2.9.11 On receipt of the report of malpractice in the examination, as referred to in above the University will direct the concerned candidate to appear before the ***Disciplinary Committee*** and furnish an explanation in writing regarding the charges levelled against the candidate.



12.2.9.12 If the *Disciplinary Committee* is satisfied that the charge/ charges levelled against any candidate in terms of above mentioned rules is/ are true, it may recommend any one or multiple of the following actions:-

1. Cancellation of examination of the candidate in the concerned paper
2. Cancellation of the entire examination of the candidate and if necessary also debarment of the candidate from appearing at the University examination for a specified period as it may deem fit according to the gravity of the offence(s) committed. If a candidate does not appear before the *Disciplinary Committee* without assigning any reason, the *Disciplinary Committee* may recommend any or all of the measure(s) as above, as it may deem fit, on the basis of available document(s) in absentia.
3. The *Disciplinary Committee* after giving due consideration to the report of the Centre-in-Charge and giving the candidate a hearing, if necessary, may recommend exoneration of a candidate from the charges levelled against him/her if in its judgment the candidate concerned is innocent.

12.3. In case of any special requirement for conducting of the Coursework exams, the department of COE will seek the advice of the PhD Committee of the University.

Reg13. Award of Degree:

13.1 A Certificate under the seal of the University and signed by the Vice-Chancellor in the following format will be given to each successful candidate at the next annual convocation of the University.

“This is to certify that (name of the awardee) obtained the Degree/Doctor of Philosophy in (name of the subject: within parentheses, broad field of specialization, if any) under the Department of....., Faculty of....of this University in the year (year of award)”

13.2 A copy of the thesis accepted for the Degree of Doctor of Philosophy (Ph.D.) with necessary corrections or modifications, if there be any, shall be retained in the University Library in e-form. The University shall also submit an electronic copy of the PhD thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

Reg14. Disciplinary Committee:

14.1. The recommendations of the *Disciplinary Committee* will need approval of the Vice-Chancellor before any action can be taken thereon. The Vice-Chancellor may, after considering the recommendations, pass such orders as he/she thinks fit.

The Controller of Examinations will take action according to the recommendation of the *Disciplinary Committee*, if approved by the Vice-Chancellor or as per orders of the Vice-Chancellor.

14.2. All questions arising in relation to the interpretation of these regulations shall be referred to the Executive Council for decision and the decision of the Executive Council will be final and binding.

14.3. The *Disciplinary Committee* may be constituted with the following members.

- a) Dean of the Concerned Faculty, Chairperson
- b) Controller of Examinations (Convener)
- c) One Court member to be nominated by the Vice Chancellor



- d) One EC member to be nominated by the Vice Chancellor
- e) Head/Coordinator of the concerned department

The tenure of this committee will be 4 (Four) years from the date of its constitution.

Reg15. PhD through Part-time Mode:

15.1. PhD programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

15.2. The Higher Educational Institution concerned shall obtain a “No Objection Certificate” through the candidate for a part-time PhD programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- a) The candidate is permitted to pursue studies on a part-time basis.
- b) His/her official duties permit him/her to devote sufficient time for research.
- c) If required, he/she will be relieved from the duty to complete the course work.

15.3. Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct PhD programmes through distance and/or online mode.

Reg 16. Issuing a Provisional Certificate:

Prior to the actual award of the PhD degree, the degree-awarding Higher Educational Institution shall issue a provisional certificate to the effect that the PhD is being awarded in accordance with the provisions of these Regulations.

Reg 17. In case of any dispute or issues not covered in these regulations, the matter will be referred to the Vice-Chancellor for taking necessary action.

