



**Kalyani University (Minimum
Standards and Procedure for
Award of Ph.D. Degree)
Regulations, 2021**

KALYANI UNIVERSITY

Kalyani, Nadia,

West Bengal

Pin code: 741235

Kalyani University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2021

{In supersession of the Kalyani University (Admission, Registration, Course-Work, Examination and Award of Ph.D. Degree) Regulations, 2016}

In exercise of the powers conferred by the Clauses (xx)-(xxiii) of Section 21 of the Kalyani University Act, 1981 and successive amendments till the date on which these regulations will come into effect and in supersession of the Kalyani University (Admission, Registration, Course-Work, Examination and Award of Ph.D. Degree) Regulations, 2016, the Executive Council of the University hereby makes the following Regulations in compliance with the University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016 and subsequent amendments till the date on which these regulations will come into effect, Clause(c) of Section 49 of the Kalyani University Act, 1981 and successive amendments till to date, and the relevant sections of Kalyani University Ordinance {61, 64, 65, and 67-74(Adm)}, namely:-

1. Short title, Application and Commencement:

- 1.1.** These Regulations shall be called the Kalyani University (KU) (Minimum Standards and Procedure for Award of Ph.D. Degree), Regulations, 2021.
- 1.2.** They shall apply to every Ph.D. Programme offered under the ambit of Faculty Council for Postgraduate Studies in Science; Arts and Commerce; Education; Engineering, Technology and Management; and Fine Arts of the Kalyani University and every affiliated (and recognized) College of the Kalyani University.
- 1.3.** This shall come into force from the date of notification subsequent to its enactment/ institution by the Executive Council of the University.

2. Definitions

In the said Regulations, unless the context otherwise requires:

1. **“University”** means the Kalyani University as constituted under West Bengal Act XIII of 1960.
2. **“Act”** means the Kalyani University Act (amended upto date), 1981.
3. **“Statutes”** and **“Ordinances”** means respectively the Statutes and Ordinances made under the Kalyani University Act (amended upto date), 1981.
4. **“Rules”** means the Rules subsequently framed under these Regulations.
5. **“Executive Council”** means the Executive Council of the University.
6. **“Faculty Councils”** means the Faculty Councils for Postgraduate Studies in Science, Arts and Commerce; Education; Engineering, Technology and Management; and Fine Arts of the University.
7. **“Prescribed”** means rules prescribed under these regulations.
8. **“Department”** means Academic Department under a Faculty Council for Postgraduate Studies of the University as constituted under the Kalyani University Act (amended upto date), 1981.
9. **“State Government”** means the Government of West Bengal in the Department of Higher Education.
10. **“Research Advisory Committee”** means Departmental Research Advisory Committee (DRAC).
11. **“Teacher”** means a Professor, Associate Professor, and Assistant Professor of the University and every affiliated (and recognized) College of the University, appointed on substantive basis.
12. Date of entry in Ph.D. Programme means Date of Enrollment/Admission in Ph.D. Programme.
13. **“Notification”** means a Notification published by the University in the Official Website of the University and brief insertion in News Papers.

14. “Ph.D. Scholar” means any person who has enrolled and registered himself/herself for pursuing Ph.D. Programme at the University.

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

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

- 3.1.** Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point Scale of the University ('B' grade in the UGC 7-point scale) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.2.** A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the University Grants Commission and State Government from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 3.3.** Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade in a point scale of the University ('B' grade in the UGC 7-point scale) (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree in the University shall be eligible to proceed to do research work

leading to the Ph. D. Degree in the University in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the UGC and the State Government from time to time.

- 3.4. A person whose M.Phil. Dissertation has been evaluated and the *viva-voce* is pending may be admitted to the Ph.D. programme of the University.
- 3.5. Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme at the University.

4. Duration of the Programme:

- 4.1. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years from the date of admission/enrollment to the Ph.D. programme at the University.
- 4.2. Extension for a maximum period of six (06) months beyond the above limits in extraordinary/ unprecedented situation shall be governed by the relevant rule as may be stipulated from time to time by the Board of Research Studies and the Executive Council of the University. After the expiry of the tenure of Ph.D. programme as stipulated under clause 4.1 of section 4 of these regulations, including the extension period if any, the registration shall be treated as cancelled.
- 4.3. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years 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.

5. Procedure for admission:

- 5.1.** The University shall admit Ph.D. students through a Research Entrance Test (RET) conducted at the level of University.
- 5.2.** The University shall admit students who have qualified UGC-NET (including JRF)/ UGC-CSIR-NET (including JRF)/ SLET/ SET/ GATE/ have appointed in University Research Fellowship programme (URS)/ have passed M.Phil. or Teachers fellowship holders as per stipulation of clause 5.1 of the Section 5 above. But, they shall be exempted from the Written test part of RET based on affirmative recommendation of DRAC and assent of hon'ble Vice-Chancellor. Admission of those students shall be governed strictly by the relevant regulations as stipulated under clauses 5.3, 5.4, 5.5, 5.6, 5.7 and 5.8 below.
- 5.3.** The University shall:
 - 5.3.1.** decide on a half-yearly basis through its statutory academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted in a Department depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities;
 - 5.3.2.** notify well in advance in the University website and through advertisement in 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) and all other relevant information;
 - 5.3.3.** adhere to the State-level reservation policy, as applicable.
- 5.4.** The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and Higher Education Dept., Govt. of West Bengal, and taking into account the reservation policy of the Govt. of West Bengal in the Higher Education Department from time to time. If in spite of relaxation of the qualifying

marks in RET (as stipulated under clause 5.5.1 below), the seats allotted for SC/ST/OBC (non-creamy layer/Differently Abled categories remain unfilled, the University shall launch a special Admission drive for that particular category from the date of closure of admission of General category.

5.5. The University shall admit Ph.D. scholars by a two stage process through:

5.5.1. RET shall be qualifying with qualifying marks as 50%. A relaxation of 5% marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (non-creamy layers)/ Differently-Abled category in the entrance examination conducted by the University. The syllabus of the RET shall consist of 50% of research methodology and 50% shall be subject specific. The RET shall be conducted at the Centre(s) notified in advance (changes of Centres, if any, also to be notified well in advance).

5.5.2. The RET shall have two papers:

5.1-01 (Written Test): 50*(25 Marks on Research Methodology+25 Marks on Specific Subject)

*[Pattern of questions: preferably multiple choice questions (single/multi-select)/ rank order scaling questions/ text slider questions/likert scale questions/ stapel scale questions/ constant sum questions/demographic questions/ analytical questions/ any other types of questions as selected fit by respective RAC– carrying 1/2/3/4/ marks each.]

5.1-02 (Interview/Viva-Voce): 50**

**15 Marks : for Research methodology
15 Marks : for Subject Specific
20 Marks : presentation on proposed research and competence

5.5.3. The qualifying marks as stipulated in sub-clause 5.5.1 for students as stipulated under clause 5.2 shall be determined by the marks obtained in interview part of RET only.

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- 5.5.4.** The RET shall be conducted centrally. The date of RET shall be notified as stipulated under sub-clause 5.3.2 above with the approval of hon'ble Vice-Chancellor.
- 5.5.5.** The Central Moderation Committee shall set/moderate final question paper for written test of RET for every Discipline/ Department based on questions/ question paper(s) submitted confidentially to the Vice-Chancellor's office by the respective DRAC after their initial moderation.
Every Department shall be required to submit at least 50 questions on Research Methodology and 50 questions on Specific Subject.
- 5.5.6.** The Controller of Examinations of the University shall conduct RET adhering the Examination Rules framed by the EC of the University based on these Regulations.
- 5.5.7.** An interview/viva-voce to be organized by the University/ Department when the candidates are required to discuss their research interest/area through a presentation before a duly constituted Departmental Research Advisory Committee (DRAC).
- 5.5.8.** The interview/ viva-voce shall be declared invalid if the nominee of the Vice-Chancellor in RAC meeting/board as stipulated under sub-clause 8.1.4 below remains absent.
- 5.6.** The interview/ *viva-voce* shall also consider the following aspects, viz. whether:
- 5.6.1.** the candidate possesses the competence for the proposed research;
- 5.6.2.** the research work can be suitably undertaken at the University Department(s) and/or affiliated (and recognized) College(s) of the University;
- 5.6.3.** the proposed area of research can contribute to new/additional knowledge.
- 5.7.** The University shall admit Ph.D. scholars through RET in a discipline specific manner/ Department wise notified separately for each Department, as and when required.
- 5.8.** The University/every Department of the University/ every affiliated (and recognized) College of the University shall

maintain the list of Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/ her research, name of his/ her research Supervisor/Co-supervisor, date of enrollment/ registration, etc.

6. Allocation of Research Supervisor:

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

- 6.1.** Any full time regular Professor (in substantive post) of the University with at least five research publications in refereed journals and any full time regular Associate/Assistant Professor (in substantive post) of the University with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. Any full time regular Professor/ Associate Professor/ Assistant Professor of the University who is enjoying the grant of statutory lien on his/her substantive post, and currently holds any full time regular (substantive) post/tenure based public office at the University as stipulated in Kalyani University Act (amended upto date), 1981, may be recognized as Research Supervisor/Co-Supervisor in his/her Department/in other Departments of the University.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Board of Research Studies (BoRS) of the University may consider to relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing, if the Departmental Research Advisory Committee (DARC) recommends with valid reasons.

6.1. (A) Any full time regular Principal /Teacher (Professor/ Associate Professor/ Assistant Professor) (in substantive post) of recognized affiliated colleges of the University; and Scientists / Academic staff of recognized research laboratories of Govt. of India/State Govt. may be recognized as Research Supervisor / Co-Supervisor provided all the conditions as stipulated in section 6, 11 and 11A; and other sections in the extant Ph.D. regulations; and all clauses of University

notification (RPS/N/48/2172/2018/S-471, dated 19.12.2018) are met.

- 6.2.** Only a full time regular teacher of the University can act as a Research Supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the University or from other related institutions with the approval of the Departmental Research Advisory Committee (DRAC).
- 6.3.** The allocation of Research Supervisor for a selected research scholar shall be decided by the DRAC concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva-voce*.
- 6.4.** In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the DRAC may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/ the University on such terms and conditions as may be specified and agreed upon by the consenting HEIs.
- 6.5.** A Research Supervisor/Co-Supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum four (4) Ph.D. scholars. The Ph.D. berth/position under a Research Supervisor/Co-Supervisor shall be counted as vacant by the DRAC w.e.f. the date of submission of thesis by the Ph.D. Scholar.
- 6.6.** In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent University/ Supervisor from any funding agency. The scholar will however

give due credit to the University and concerned supervisor for the part of research already done.

- 6.7. In case of dissociation and/or reallocation of Research Supervisor/Co-Supervisor, the DRAC shall give a patient hearing to a Ph.D. scholar and the concerned Research Supervisor/Co-Supervisor for affirming the prayer of a Research Supervisor/Co-Supervisor or a Ph.D. scholar.

7. Course Work:

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

- 7.1. The credit assigned to the six (6)- month duration (one semester) Ph.D. course work shall be of sixteen (16) credits.
- 7.2. The course work shall be treated as prerequisite for Ph.D. preparation. Eight credits (08) shall be assigned to the courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree. Eight credits (08) shall be assigned to those advance level Courses.

- 7.2.1. Paper-7(01-RM/A):** Research Methodology (A)
Quantitative Methods, Computer Applications, Research Ethics, Training, Field Work, etc.

Marks Allotted: 60+20+20

(Term End Examn.+ Internal Assessment + Viva-voce Examn.)=100

Credits Allotted: 04

- 7.2.2. Paper-7(02-RM/B):** Research Methodology (B)
Review of Published research, Documentation/ submission of Reports on Review work and Presentation.

Marks Allotted: 60+20+20

(Report +Presentation + viva-voce)=100

Credits Allotted: 04

- 7.2.3. Paper-7(03-ALC/A):** Advanced level course on subject (A)

Subject Specific Components

Marks Allotted: 60+20+20

*(Term End Examn. + Internal Assessment
+ Viva-voce Examn.)=100
Credits Allotted: 04*

7.2.4. Paper-7(04-ALC/B): Advanced level course on subject (B)*

Transdisciplinary Components
*Marks Allotted: 60+20+20
(Term End Examn. +Internal Assessment
+ Viva-voce Examn.)=100
Credits Allotted: 04*

*(shall be chosen from a group of transdisciplinary recognized subjects)

** (Pattern of questions in theoretical papers: as stipulated under sub-clause 5.5.2 above).

- 7.3.** The DRAC concerned shall frame the Course-syllabus adhering the course-framework as stipulated in clause 7.2 of section 7 above and send the same to the Member Secretary of the Board of Research Studies (BoRS) for recommendation of the BoRS. Subsequently, the Member Secretary of BoRS shall forward the recommended syllabus to the Office of Vice-Chancellor for approval of the EC of the University.
- 7.4.** The Department where the scholar pursues his/ her research shall prescribe the course(s) to him/ her based on the recommendations of the Departmental Research Advisory Committee (DRAC), as stipulated under sub-clause 8.3.6 of section 8 below, of the research scholar.
- 7.5.** All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department during the initial one semester.
- 7.6.** Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, or those who have completed Ph.D. course work in other University/ Institution of HEDn recognized by the UGC under Sec 3 of UGC Act, 1956 and have submitted course work completion Certificate subject to the affirmative recommendation of the concerned DRAC

based on evaluation of the equivalence of the courses done, and kind assent of the hon'ble Vice-Chancellor may be exempted by the Department from doing the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

- 7.7. Marks/Grades in the course work, including research methodology courses, shall be finalized after a combined assessment by the Departmental Research Advisory Committee (DRAC) and the Department, and the final Marks/grades shall be communicated to the office of the Controller of Examinations.
- 7.8. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale in the course work in order to be eligible to continue in the programme and submit the thesis.
- 7.9. Course-work of the Ph.D. programme [excluding the Paper 7(01-RM/A)] shall be conducted in a discipline specific way by the respective Department based on these Regulations, and Rules framed from it by the EC of the University.
- 7.10. The Controller of Examinations of the University shall conduct the examination part of the Course-work of all Ph.D. programmes based on stipulations as stated in clause 7.2 above adhering the Rules framed by the EC based on these Regulations and issue the Marksheet and/or Certificate to all eligible Ph.D. students with the concurrence of Pro-Vice-Chancellor of the University.

8. Research Advisory Committee and its functions:

- 8.1. There shall be a Research Advisory Committee (RAC) in each Department composed of:
 - 8.1.1. The Dean* of the Faculty (Chairperson),
 - 8.1.2. The Head of the Department concerned (Convenor),
 - 8.1.3. Three (03) senior most Professors/Teachers having Ph.D. of the Department (Members), and
 - 8.1.4. Three (03) external subject experts (Members).

The external experts shall not be below the rank of Professor of other Universities/Higher Educational Institutes (HEIs). Out of three external subject experts,

one expert shall be nominated by the Vice-Chancellor; and the other two external experts shall be selected by the Vice-Chancellor from a panel of six names prepared by the RAC in its first meeting (excluding the members as stipulated in sub-clause 8.1.4 and 8.1.5).

8.1.5. Research Supervisor(s) of the scholar (invitee member).

*(The Vice-Chancellor shall nominate one of the senior most members (external/internal) of the RAC as Chairperson if the position of Dean of Faculty remains vacant)

8.2. The tenure of the RAC of the Department shall be of 2(two) years.

8.3. This committee (RAC of the Department) shall have the following responsibilities:

8.3.1. To recommend a panel of names for Paper setters, Moderators, Evaluators, and Viva-Voce examiners etc. for RET and Ph.D. Course-work examinations to the office of Pro-Vice-Chancellor for approval (to be submitted through the office of Controller of Examinations).

8.3.2. To frame syllabus for RET and one semester Ph.D. Course-Work [excluding the Paper 7(01-RM/A and 7(04-ALC/B)] adhering the course-framework as stipulated in clause 7.2 of these Regulations for approval of the Executive Council of the University (to be submitted through Board of Research Studies).

8.3.3. To prepare a merit list of candidates for admission to Ph.D. programme in the Department adhering the criteria as stipulated in relevant clauses of section 5 of these Regulations for approval of the Board of Research Studies before transmitting the list to the office of Registrar/Admission Section of the University for Admission.

8.3.4. To allocate Research Supervisor(s) to the admitted candidates adhering the relevant clauses of the section 6 of these Regulations and to forward the same to the Board of Research studies for approval.

8.3.5. To review the plan of research (the plan of research project providing the title of the thesis, rationale for the

research, the research objectives, the proposed method for data/information collection and recording formats and/or questionnaires and interviewed guides etc. within 1000 words) and submitted filled in application form for registration for finalizing the topic of research and recommending the same for approval to the Board of research Studies of the University for registration within one year from the date of admission to the Ph.D. programme and after the completion of Ph.D. course work of the Ph.D. scholar or research scholar.

- 8.3.6.** To guide a Ph.D. scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- 8.3.7.** To periodically review and assist in the progress of the research work of the research scholar.
- 8.3.8.** A research scholar shall appear before the RAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the RAC to the Board of Research Studies with a copy to the research scholar.
- 8.3.9.** In case the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the Board of Research studies of the University with specific reasons for cancellation of the registration of the research scholar.
- 8.3.10.** Departmental RAC shall review the draft thesis (written within 5000 words) of the Ph.D. scholar with a brief presentation in the Department in presence of all faculty members and other research scholars as a prerequisite to submit thesis as stipulated under clause 10.2 below.

A status report shall be submitted by the Chairperson of RAC to the Board of Research Studies of the University with a copy to the Ph.D. scholar stating the Ph.D. scholar is allowed to submit his/her thesis to the University for award of Ph.D. degree based on his/her

performance in draft-thesis presentation and evaluation of all the thesis components as submitted to RAC in the form of draft thesis (within 5000 words), not earlier than one (01) month and not later than six (06) months from the date of draft thesis presentation.

8.3.11. Departmental RAC shall conduct public *viva-voce* of the Ph.D. scholar to defend his/her Ph.D. thesis with a thorough presentation subject to the recommendation of Board of Research Studies for conducting the *viva-voce* examination based on satisfactory thesis evaluation reports.

The Chairperson of the concerned RAC shall submit a report about satisfactory performance of the Ph.D. scholar in *viva-voce* examination in a stipulated format to the Board of Research Studies of the University for considering his/her thesis for Award of Ph.D. degree of the University.

9. Board of Research Studies (BoRS) and its functions:

9.1. There shall be a Board of Research Studies (BoRS) in each faculty as stipulated under clause 62 (Adm.) of University Ordinance composed of :

9.1.1. The Vice-Chancellor (Chairman)

9.1.2. The Pro-Vice-Chancellor (Vice-Chairman)

9.1.3. The Registrar (Member)

9.1.4. The Controller of Examinations (Member)

9.1.5. The Dean of the Faculty concerned (Member)

9.1.6. The Head of the Department concerned (Member)

9.1.7. The Secretary, Faculty Councils of Postgraduate Studies (Member Secretary)

9.1.8. The Asst. Registrar, in-charge, Ph.D. Section/ BoRS (regular invitee member)

9.2. The tenure of the Board of Research Studies (BoRS) of the University shall be of 4 (four) years.

9.3. The Board of Research Studies (BoRS) shall have the following responsibilities as stipulated under clause 63 (Adm.) of the University Ordinance.

9.3.1. To approve the list of candidates selected as per relevant clauses of the Section 5 of these regulations for

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- admission to Ph.D. programmes of the University (Annexure-A).
- 9.3.2.** To recommend the RET and Ph.D. Course Work syllabi framed by RAC adhering the clause 8.3.2 of these regulations for approval to the Executive Council of the University.
- 9.3.3.** To approve the plan of research including the title of the thesis of the Ph.D. scholar for registration (Annexure-B) based on affirmative recommendation of the RAC as per sub-clause 8.3.5 of clause 8.3 of these regulations above. The Ph.D. Section of the Office of Registrar shall issue a letter to the research scholar/Ph.D. scholar (Annexure-C) mentioning the name of registered candidate, title of his/her thesis, name of his/her research supervisor(s), date of enrollment and registration and the validity of registration (The registration shall remain valid upto the expiry of the duration of Ph.D. programme of Ph.D. scholar as per clause 4.2 of section 4 of these regulations), etc.
- 9.3.4.** To approve the prayer of re-registration of the Ph.D. scholar in extra-ordinary/unprecedented situation based on specific recommendation of the concerned RAC and observing the re-registration rules of the University.
- 9.3.5.** To approve the cancellation of registration for infringement of regulations and rules, misconduct, act of gross indiscipline, for unsatisfactory progress of research during the entire duration of Ph.D. programme, or for any other cause considering the recommendation of concerned RAC.
- 9.3.6.** To recommend the names of affiliated Colleges/HEIs/Research Organizations for granting recognition by the University to the Executive Council for independent/ Collaborative research as stipulated under clause (xxiv) of section 21 of the KU Act (amended upto date), 1981.
- 9.3.7.** To recommend to the Vice-Chancellor a panel of names for appointment of examiners for

evaluation/adjudication of a thesis submitted by the concerned Ph.D. scholar. The Research Supervisor shall submit a list of 6 (six) names of examiners (3 shall be from outside the State / the Country not below the rank of Professor) (Annexure-D) under a sealed envelope to the Registrar and the BoRS shall finally prepare a panel with additions or alterations, as may be considered necessary.

9.3.8. To allow a Ph.D. scholar to submit his/her thesis for award of Ph.D. degree considering the report of concerned Chairperson of RAC as stipulated under sub-clause 8.3.10 of clause 8 above (Annexure-E).

9.3.9. To recommend for conducting public *viva-voce* examination of the Ph.D. scholar by the concerned RAC considering the satisfactory thesis adjudication/examination reports.

9.3.10. To recommend to the Executive Council of the University for Award of the Ph.D. degree to the concerned Ph.D. scholar for considering his satisfactory thesis adjudication reports and public *viva-voce* examination report of the Chairperson of RAC (Annexure-F) as prescribed in sub-clause 8.3.11 of section 8 above.

10. Evaluation and Assessment Methods, minimum standards for award of the Ph.D. degree, etc.:

10.1. Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in clause 7.8 above, as the case may be, Ph.D. scholar shall be required to undertake work and produce a draft thesis within a reasonable time, as stipulated by the University in section 4 of these Regulations.

10.2. Prior to the submission of the thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee (RAC) 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 thesis in consultation with the RAC.

10.3. Ph.D. scholars must publish at least one (01) research paper in refereed journal and make two paper presentations in

conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

- 10.4.** The University shall adopt appropriate IT (information technological) measures to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the Ph.D. scholar (Annexure-G) and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism (UGC prescribed regulation in this regard shall be followed from time to time) (excluding the bibliography, standard international words and terms of the subject, and research results already published elsewhere by the Ph.D. scholar) and that the work has not been submitted for the award of any other degree/diploma of this University, or to any other Institution.
- 10.5.** Normally the language of the thesis shall be English (except Ph.D. thesis in Bengali Language and literature and subjects/disciplines where devanagari script is used) unless the concerned RAC and the Board of Research Studies permitted to write thesis in language other than English on the prayer of the Ph.D. scholar on valid grounds and in consonance with UGC Regulations in this regard.
- 10.6.** If necessary, a Ph.D. scholar shall be permitted to modify his/her thesis title with the approval of Board of Research Studies on affirmative recommendation of the Research Supervisor(s) and the concerned RAC. However, such modification shall not be permitted after submission of pre-submission presentation report as stipulated in sub-clause 8.3.10 of the clause 8.3 of these regulations above.
- 10.7.** Compliance with the clauses from 10.1 to 10.6 of the section 10 above and other requirements under these regulations, a Ph.D. scholar shall be permitted to submit his/her thesis for adjudication along with a certificate from the Chairperson of concerned RAC recommending for thesis submission as stipulated in sub-clause 8.3.10 above.
- 10.7.1.** A Ph.D. scholar shall submit four (04) typed/printed copies of Ph.D. thesis embodying the results of his/her

research and enclosing the undertaking of the research scholar and supervisor(s) as required under clause 10.4 above. At the time of submission of thesis, the Ph.D. scholar shall also submit four (04) copies of the abstract (within 500 words) of the thesis, and two (02) CDs containing the entire thesis as a pdf along with the research article(s) published in refereed journal and the papers presented in conferences/ seminars.

10.7.2. Along with his/her thesis, a Ph.D. scholar shall be required to submit clearance certificates of the Department concerned, Central library, Office of the Dean of Students' Welfare and Office of Finance officer of the University (Annexure-H).

10.7.3. A Ph.D. scholar shall deposit all non-refundable fees, as may be prescribed from time to time, for processing submitted thesis after receiving permission from the Finance officer and the Registrar for making this deposit (Annexure-I). The Ph.D. scholar shall also be required to bear postal charges for dispatching thesis to the examiners as soon as this is intimated to him/her.

10.7.4. A regular Ph.D. scholar, whose tenure of fellowship has not expired before the submission of thesis, shall be required to submit an undertaking to this effect at the time of submission of thesis. He/She shall submit clearance certificate as soon as the fellowship tenure is over.

10.8. The Ph.D. section of the Registrar's Dept. shall receive thesis from a Ph.D. scholar for adjudication subject to the fulfilment of all terms and conditions as stipulated under clause 10.7 above and permission for submitting thesis from the Pro-Vice-Chancellor of the University on recommendation of the Secretary, Faculty Councils (PG) and the Controller of Examinations of the University (Annexure-J).

10.9. The Research Supervisor shall submit a panel of six (06) names of examiners (3 shall be from outside the State/the Country) (not below the rank of Professor/equivalent position) under a sealed envelope to the Registrar for adjudication of thesis. The

submitted panel shall include postal and email addresses, and telephone numbers (landline/cell phone) of the examiners.

10.10.The Registrar/Asst. Registrar (in-charge, Ph.D. Section) shall place the submitted panel of examiners in the meeting of Board of Research Studies of the concerned faculty for approval. The Board of Research Studies shall finally prepare a panel with additions or alterations, as may be considered necessary; and forward the approved panel to the Vice-Chancellor (and Chairman of BoRS) for his/her nomination.

10.11.The Vice-Chancellor (and the Chairman of BoRS) shall nominate two examiners from the panel of names to set it aside for “within the State”, and two examiners from the panel of names to set it aside for “outside the State/ Country” from the panel as stipulated in clause 10.9 and 10.10 above in order of his/her preference.

10.12.The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may be from outside the State or the Country. The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

10.12.1. Before sending a thesis to an examiner, the Registrar/the Asst. Registrar shall seek his/her consent for adjudication of thesis preferably via email (postal service, fax/ courier service etc. may also be availed). If no response is received from the examiner within two weeks, Registrar /Asst. Registrar shall send a reminder allowing a time gap of another one week. If the offer as thesis adjudicator is declined or still no feedback is received from the first examiner as nominated by the Vice-Chancellor in response to second reminder, the Registrar/ Asst. Registrar shall seek consent from the second examiner as nominated by the Vice-Chancellor.

If the still no response is received from the proposed second examiner or the offer is declined, the Registrar/ Asst. Registrar shall seek consent from the third examiner to be nominated by the Vice-Chancellor from the approved panel.

10.12.2. In case of the exhaustion of whole panel, the Registrar/ Asst. Registrar shall seek a fresh panel of examiners (within State/ outside the State or Country category or whole panel) from the research supervisor through concerned Board of Research Studies as stipulated under clause 10.9 above.

10.12.3. The Registrar/ the Asst. Registrar shall request all the examiners to send their thesis adjudication reports in details within 6 weeks from the date of receipt of the thesis along with a remark page as stipulated under sub-clause 10.12.5 below.

10.12.4. In case the thesis adjudication report is not reached within the stipulated period as stipulated under sub-clause 10.12.3, the Registrar/ the Asst. Registrar shall send a reminder to send the thesis adjudication report within the another 2 weeks of extended period. If the examiner is not in a position to adjudicate the thesis within the extended period, he/she shall be requested to return back the thesis within two weeks.

10.12.5. Every examiner shall send the report in detail after satisfying himself/herself with all aspects of the thesis to the Registrar/ the Asst. Registrar as stipulated under sub-clause 10.12.3 above with either of the remarks in the prescribed format (as stipulated under clause 73(Adm) of University Ordinance)(Annexure-K):

“I recommend the thesis for the award of the Ph.D. Degree”

“I do not recommend the thesis for the award of the Ph.D. Degree”

“I recommend re-submission of the thesis after revision”

10.12.6. Scanned copy of the report, including the marked “remarks” copy, duly signed by the examiner

transmitted electronically in advance to the Registrar/ the Asst. Registrar could also be accepted, if the situation permits or any examiner wish for.

10.12.7. The Office of the Registrar (Ph.D. section) shall pay honorarium to all external thesis adjudicators and *viva-voce* examiner as per University rules framed for this purpose with the concurrence of EC of the University through NEFT/other means after the completion of thesis evaluation process.

10.13.The public *viva-voce* of the Ph.D. scholar to defend his/her thesis shall be conducted only if the Vice-Chancellor/ Board of Research Studies gives permission as stipulated under sub-clause 9.3.9 above subject to the evaluation reports of the external examiners on the thesis are satisfactory and include a specific recommendation for award of the Ph.D. degree. If one of the evaluation reports of the external examiner of Ph.D. thesis, is unsatisfactory and does not recommend for the award of Ph.D. degree, the University shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the Ph.D. scholar shall be declared ineligible for the award of the Ph.D. degree.

10.14.Thesis evaluation/adjudication reports of all examiners and the public *viva-voce* examination report of RAC shall be placed before the concerned Board of Research Studies (BoRS) for approval and to be placed in the next Executive Council meeting of the University for award of the Ph.D. Degree to the concerned Ph.D. scholar as stipulated under sub-clause 9.3.10 of the clause 9.3 of these regulations.

10.14.1. If the Vice-Chancellor approves the case to award Ph.D. Degree to the Ph.D. scholar considering the satisfactory thesis evaluation reports and the report of public *viva-voce* examination by exercising his/her extraordinary power as stipulated under clause 6 of section 10 of the Kalyani University Act (amended upto date), 1981; the report of assent along with a note of

concerned BoRS shall be placed in the next E.C. meeting of the University for ratification.

10.15.The Date for holding public *viva-voce* examination as mentioned in the satisfactory public *viva-voce* examination report submitted by the concerned Chairperson of the RAC (as stipulated under sub-clause 8.3.11 above) shall be the date of award of Ph.D. Degree.

10.16.The Executive Council of the University shall adopt appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

11. Academic, administrative and infrastructure requirement to be fulfilled by Affiliated Colleges of the University for getting recognition for offering Ph.D. programme:

11.1. Affiliated Colleges of the University may be considered eligible to offer Ph .D programme only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.

11.2. Postgraduate Departments of affiliated Colleges with at least two Ph.D. qualified teachers in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 11.4, shall be considered eligible to offer Ph.D. programme.

11.3. Affiliated Colleges intend to offer Ph.D. programme should additionally have the necessary recognition by the University as stipulated under sub-clause 9.3.6 of the above.

11.4. University recognized affiliated Colleges with adequate facilities for research as mentioned below alone shall offer Ph. D. Programme provided all the conditions mentioned in the extant Ph.D. Regulations and all clauses under section 1-5 of Notification of the University Registrar vide number RPS/N/48/2172/2018/S-471, dated 19/12/2018 are met:

11.4.1. In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the Institution concerned with provision for

adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;

11.4.2. Earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;

11.4.3. Recognized Affiliated Colleges of the University may also access the required facilities of the neighbouring Institutions /Colleges, or of those Institutions /Colleges /R&D laboratories/Organizations which have the required facilities and which have got the recognition of the University.

11A. Academic, Administrative and infrastructure requirement to be fulfilled by Research laboratories of Govt. of India/ State Government for offering Ph.D. programme:

Research laboratories of Govt. of India /State Govt. with atleast two (02) Ph.D. qualified scientists/teachers/other academic staff alone with all research infrastructure and other facilities as stipulated under clause 11.4 above shall be considered eligible to offer Ph.D. programme after getting University recognition.

12. Treatment of Ph.D. programmes through Distance Mode/Part-time:

12.1. Notwithstanding anything contained in these Regulations or any other rules/regulations, for the time being in force, the University shall not conduct Ph.D. Programmes through distance education mode.

12.2. The University shall conduct part-time Ph.D. programmes provided all the conditions mentioned in the extant Ph.D. Regulations are met.

13. Award of Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:

13.1. Award of degrees to candidates registered for the Ph.D. programme on or after 2016 till the date of Notification of these

Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of Ph.D. Degree) Regulations, 2016 and the University Regulations, 2016.

- 13.2.** If the Ph.D. degree is awarded by a Foreign University, the University considering such a degree shall refer the issue to a Standing Committee constituted by the University for the purpose of determining the equivalence of the degree awarded by the foreign University as stipulated under relevant clauses of University Act, Statutes, Ordinances and Ph.D. regulations, 2016.

14. Depository with INFLIBNET:

- 14.1.** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Universities/Institutions.
- 14.2.** Prior to the actual award of the Ph.D. degree, the University shall issue a provisional Certificate (Annexure-L) to the effect that the Ph.D. Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016 and successive amendment(s) till the date on which these regulations have come into effect (June, 2021). However, the University shall award a Certificate under the seal of the University and signed by the Vice-Chancellor to each successful candidate at the next convocation held for conferring the degrees (Annexure-M).

15. Revocation of thesis:

If at any time after the award of degree to a thesis, allegation with prima facie evidence is received pointing out plagiarism, the case shall be referred to a committee of 3 subject experts nominated by the Vice-Chancellor/the Board of Research studies. If the allegation is proved, disciplinary actions including the revocation of Ph.D. degree shall be taken after offering the candidate a reasonable opportunity for self-defense.

16. Interpretation:

The University shall reserve its right to interpret any of section/clause/sub-clause of these regulations in case of any doubt or ambiguity.

17. Removal of difficulties:

The opinion of the Vice-Chancellor shall be final, subject to the provisions of the Kalyani University Act (amended upto date), 1981, Statutes, Ordinances, Regulations and Rules made there under for any case which is considered not covered by these regulations.
