

**West Bengal State University**  
**Regulations for the Degree of Doctor of Philosophy**  
**March, 2022.**

**Short Title, Application & Commencement:**

1. These regulations may be called the **West Bengal State University (Regulation for the Degree of Doctor of Philosophy, Ph.D.), Regulations 2022.**

They shall apply to every candidate applying for admission, and subsequent registration, conduct and conferment of the Degree of Doctor of Philosophy (Ph.D.) of this University. **They shall come into force from April, 2022, as approved by the Executive Council.**

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 guidelines of the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016, as amended.

**2. GENERAL:**

The Degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate on the basis of original research work of merit incorporated in a thesis, recommended by a board of examiners and successfully defended by the candidate during a Viva-Voce. The thesis is to be ordinarily written in English. Drafting of the Thesis in any other regional language is subject to the permission of the Competent Authority.

**3. FORMATION OF RESEARCH DEVELOPMENT CELL (RDC):****Mission**

- To create a conducive environment for enhanced research productivity.
- To encourage collaboration across industry, government, community- based organizations,
- and agencies at the local, national, and international levels.
- To facilitate greater access to research through mobilization of resources and funding.

**Objectives**

1. To create an organizational structure with role-based functions of RDC, formulate Research Policy for the West Bengal State University, identify thrust areas of research, and form related cluster groups/frontline teams/consortia of researchers.
2. To create enabling provisions in Research Policies for recruitment of research personnel, procurement of equipment, and financial management with adequate autonomy to the Principal Investigator(s) and disseminate research outcomes to stakeholders and the public at large.



3. To establish a special purpose vehicle to promote researchers and innovators, identify potential collaborators from industry, research organizations, academic institutions & other stakeholders for cooperation and synergistic partnerships.
4. To act as a liaison between researchers & relevant research funding agencies, extend guidance in preparation & submission of project proposals and post-sanctioning of the grants to oversee adherence to timelines.
4. To have better coordination among other cells/centers dealing with University-Industry Inter Linkage, Incubation, Innovation and Entrepreneurship Development and Intellectual Property Rights (IPR).
5. To develop an Institutional Research Information System for sharing the status of ongoing/completed research projects/Programmes, expertise & resources, etc., making effective use of Information & Communication Technology (ICT) for preparing the database of in-house experts to provide industrial consultancy and services.
6. To engage & utilize the services of superannuated active faculty/scientists in research capacity building of talented young minds and promote mobility of researchers across institutions and R&D Labs.
7. To serve as nodal center for ideation and conceptualization of research topics/themes by organizing workshops and training programs and ensuring the integrity and ethical practices in research activities including clearance of bioethical committee wherever required.

### **Functions**

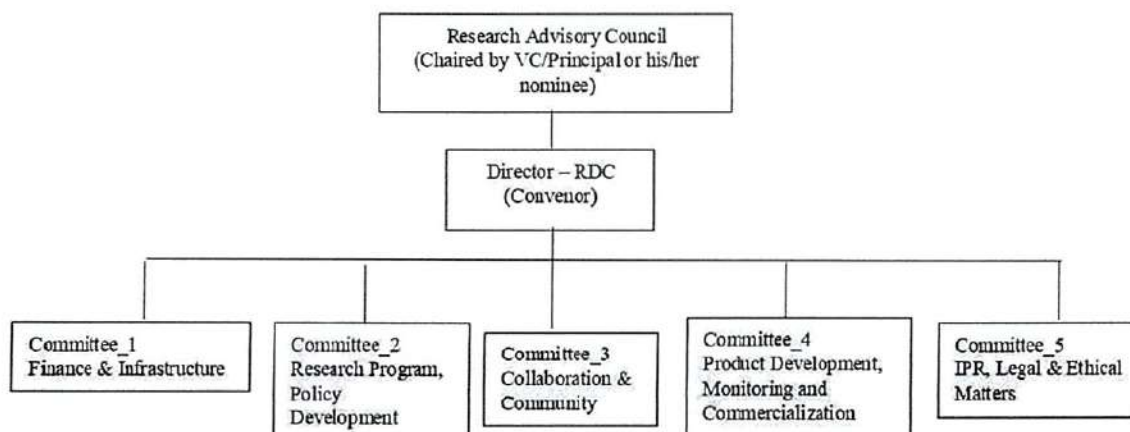
The UGC launched an initiative to establish a RDC in West Bengal State University with the mandate for promoting quality research that contributes meaningfully towards the goal of a self-reliant India. The RDC of West Bengal State University, in line with the said guidelines, would help creating a research ecosystem for reliable, impactful, and sustained research output. The essential elements of such an ecosystem, viz., generation of knowledge and facilitation of research, innovation and technology development for industrial & societal benefits, are addressed by human resource (researcher & faculty), intellectual capital (knowledge & skills), governance (regulation & policies) and financial resources (funding & grants).

### **3.1. Governance**

An efficient governance mechanism, which ensures functional autonomy, Transparency, accountability, adaptability by strengthening interlinkages to create a conducive research environment. West Bengal State University can foster the human elements (faculty, staff, scholars, and students), logistics (land, buildings, and facilities), knowledge resources (research equipment, project utilities, and consumables), fund flow, etc. through a steady, proficient, effective governance (Rules, Norms, and Policies) and financial (Grants and Funds) management. Dedicated leadership and administrative structure for research, led by experienced researchers, are essential for establishing an effective and robust Research Governance in RDC at West Bengal State University. The Research Governance will have a Research Advisory Council (RAC) headed by the Vice-Chancellor or his/her nominee as the apex body of RDC. The Director, nominated by Vice-Chancellor among the distinguished researchers from the university, will head various



committees to drive the governance. RDC may form multiple committees to smoothen its functioning with respective committee members nominated by the Director – RDC and approved by RAC. The organisational structure of RDC comprising of various committees for specified functions may be as under:



### **3.2. Administration**

Established organizational structure (Bodies, Authorities, and Committees) will facilitate planning, implementation, and monitoring of research activities in West Bengal State University, formulate rules, regulations, and policy frameworks for utilization of facilities and resources at West Bengal State University. A strategy adopted to integrate multiple functional units can support institutional research under a single-window operational system for effective administration. The activities of RDC will be mentored and monitored by various committees for devising research models, technology, appraisal, foresight & review functions, mediating sectoral R&D progress, and IPR protection. RDC should keep a close contact with Ministry Innovation Cell to make use of various innovative plans for facilitating the researchers.

### **3.3. Research Ecosystem/Collaboration**

A vibrant research ecosystem in HEI aims to provide meaningful thrust for sustainable research and innovation and promote collaboration between government, universities, research institutes and industries. West Bengal State University need to build a sustainable research ecosystem that leads to consistent quality research outcomes and enhanced productivity.

In order to make RDC functionality viable, West Bengal State University would develop a connection with RDCs of already well-known/established universities for their research.

RDC of West Bengal State University will act as a facilitator for networking and collaborative research with other national and international institutions working in inter- disciplinary, trans-disciplinary, and multidisciplinary research areas. Reformed administrative structure at West Bengal State University can reach out to key industry players, research organizations, institutions, associations, NGOs, government bodies to forge strategic partnerships. West Bengal State University need to establish collaborations, teams/consortia, partnerships, and combined ventures

for joint research activities through clustering institutions and organizations to facilitate the exchange of students, scholars, and faculty.

There is a need to strengthen resource sharing in content and infrastructure both within the university and among universities, funding agencies, industries, corporates and government.

### **3.4. Information Management System**

West Bengal State University play a key role in the advancement of research and innovation as two distinct entities through Research Information Management System (RIMS) for the benefit of faculty, students, industry and other stakeholders.

West Bengal State University should put in place a RIMS to collect and manage research-oriented information, databases, publications, research projects, fellowships, collaborations, patents, thrust areas, innovations etc. aligned with the institution's research policies.

RIMS would also provide a platform for accessing resource-centric information pertaining to human capital (Expertise), physical capital (State-of-Art Research Laboratories and Sophisticated Instrumentation Facility), and knowledge capital (Digital Library & Information, Intellectual Property Facilitation, Quantitative Methods & Data Analysis, Analytical and Consultancy Services).

As per the requirements of various regulatory agencies, researchers can submit, modify, or update their research compliances such as protocol approval, training records, equipment lists, etc. RIMS can provide a centralized and integrated database to manage issues related to and radioactive-safety approval clearances for use and disposal of biological, chemical and radioactive hazardous materials, protective equipment measures, surveillance of staff, appropriate trainings/workshops, etc.

Each HEI needs to create a blog or portal for Institutional Research Information and Institutional Repository and sign an MoU with UGC- INFLIBNET to access and upload the research information through Shodh Ganga, Shodh Gangotri, Shodh Sindhu, Shodh Shuddhi, and Shodh Chakra.

The Innovation Management (ISO 56002:2019) can be implemented as a common framework to develop and deploy innovation capabilities, evaluate performance, and achieve intended outcomes of global standards.

### **3.5. Human Resources**

The Director (RDC), the Conveners and members of various committees (nominated by the Director-RDC from/among the existing faculties with research credentials) and supporting administrative/technical staff would ensure smooth conduct of the research activities in HEI.

Re-employing or designating superannuated faculty/scientists with exceptional research profiles and eminent faculty as Mentors/ Scientists/ Professor Emeritus on a selective basis will help to build a resilient research ecosystem. Distinguished faculties or research scientists grooming young talents can help replenish the void created as a result of superannuated faculty/researchers.



### **3.6. Research Promotion & Guidance**

Research promotion activities at West Bengal State University should be aligned with the mandates of various National Missions, SDGs, Start-up India leading to a Self-Reliant India.

Research Guidance from RDC will aim to encourage faculties to conceive ideas through enhanced industry-academia interactions and prepare research proposals for funding from various agencies. Organizing events like capacity- building programs (Research Methodology and Research Techniques) and specific research theme-based workshops and Research Internships will motivate the end-users (students, scholars, and faculties) to participate actively in the process of ideation and innovative research in emerging areas.

#### **a. Research Thrust and Clustered Areas**

Thrust areas for Research in West Bengal State University should be identified, underpinning the societal needs and the availability of key resources, including in-house human resources, faculty research competencies, and support systems. This would enable HEI to consider establishing a Center of Excellence (CoE) in these identified contemporary areas of research.

Research Clusters and/or Regional Research Consortia prompted/formed by RDC to bring all researchers, faculty, students, scholars, and Post-Doctoral Fellows for joint high value (interdisciplinary and trans-disciplinary) research projects to avail national and international funding opportunities. Shared infrastructure and expertise will enable cross fertilization of ideas and mobilization of resources. Further, forming Regional Research Consortia adds a synergistic advantage in finding solutions in inter-disciplinary, transdisciplinary, and multidisciplinary areas. CoEs' can serve as Incubation Centres to transform innovative ideas into processes and products administered and monitored by the proposed RDC. RDC could also provide an avenue for community talent with prior learning/expertise to engage in research and innovation activities of HEI.

#### **b. Research Incentives and Recognition**

Incentives play a significant role in triggering and catalyzing research interest among scholars and faculties. Incentivizing quality publications and patents by students and faculty will have an enduring positive impact.

Institution of Excellence Awards for accomplishments/achievements in the form of impactful quality research and/ or research-based teaching will further stimulate and invigorate the research and innovation activities of the HEI.

RDC should also develop a policy focusing on identifying specific intensives for research faculty and develop a unique Research Career ladder for strengthening the mission "Research".

#### **c. Technology Development and Business Centred Facility**

The Technology Development and business-centered facility will be a hub for strategic partnerships/ collaborations, industry-institute interface, sponsored or contract research, new knowledge generation, IPR, and patent services, venture capital, trade/market portfolio, technology transfer, and commercialization of



research to facilitate innovation, incubation, entrepreneurship and start-up ventures.

#### **d. Finance**

RDC can facilitate resource mobilization and create a Corpus for research and development from government, industry, and other funding agencies and channelize Corporate Social Responsibility (CSR) funds for sustainance and furtherance of research activities. Apart from creating a Corpus fund exclusively for R&D, RDC can explore venture capitalists and angel investors for funding in research and innovation. It needs to liaise with funding agencies, and track funding opportunities from industrial consortia. The HEI may make provision for research in the annual budget subject to the availability of funds.

The corpus created for research could also support the seed funding for freshly recruited faculty for developing research facilities, publications and patenting.

#### **3.7. Integrity and Ethics**

Regular initiatives by RDC will ensure that researchers understand the importance of integrity and ethics and comply with ethical codes of research and publishing practices at institutional, national, and global levels. A standard plagiarism check should be mandatorily implemented and the requisite software in this regard made accessible to all researchers.

In addition, the RDC will sensitize the research community about dubious research and publishing practices and predatory journals.

#### **3.8. Capacity Building**

RDC would play a crucial role in building the capacity of faculty and students to undertake research problems in line with the latest advances in diverse disciplines to push the boundaries of knowledge through publications and contribute to technological developments relevant to societal needs. It would also pave the way for HEI to attract more research grants under norm-based funding, improve its accreditation ranking and enhance its brand image. Regular events such as refresher courses, workshops, trainings/internships, group discussions and seminars/conferences may be organized for capacity building. RDC would play a pivotal role in creating central R&D facilities with the provisioning of associated training/internship thereon.

#### **3.9. Research Monitoring**

The current policy environment in India as well as in West Bengal encourages West Bengal State University to be responsible and accountable for research development and innovation activities through the creation of infrastructure, generation of resources, promotion of business, and facilitation of policy framework to nurture the culture of quality research by adhering to ethical practices. Among the standard functions, the RDC in an HEI needs to monitor and oversee research progress, coordinate program, manage and facilitate optimizing resources, timely review of research activities for completion of the projects as per schedule.

West Bengal State University need to formulate and adhere to specific quality benchmarks for research to meet the global/ international standards. The proposed

RDC should conduct a quality review (SWOC Analysis) or internal evaluation of the research papers and suggest Scopus Indexed, Web of Science (WoS), or UGC-CARE recognized journals for appropriate publications.

R & D Cell of West Bengal State University must ensure that all the Research Labs in the institution fulfill the norms of Good Laboratory Practices (GLP) and Safety (Bio and Chemical) measures, recognized as QIP center and by the National Accreditation Board of Laboratories (NABL).

#### **4. ELIGIBILITY CRITERIA FOR ADMISSION TO Ph.D. PROGRAMME:**

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

- a. Candidates for admission to the Ph.D. programme shall have a Master's degree or a degree declared equivalent to the Master's degree by the corresponding statutory regulatory body of this University, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- b. 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 from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> 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.

#### **5. DURATION OF THE Ph.D. PROGRAMME:**

- a. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years since admission (i.e. enrolment).
- b. Extension beyond the above limits will be governed by the relevant clauses as stipulated in these Regulations.
- c. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.



**6. PROCEDURE FOR ADMISSION:**

The University shall admit a Ph.D. student through an entrance test named 'Research Eligibility Test (RET)' followed by an interview. The students who have cleared UGC/CSIR (JRF) Examinations/ NET / SET / SLET /GATE or have obtained DST INSPIRE Fellowship /Teacher fellowship or have passed equivalent examinations or passed the M.Phil./ M.Tech / M.D/ M.E./ M.Pharm/ LLM or equivalent examination shall not be required to appear at the Ph.D. entrance test.

In case of candidates holding a qualifying degree from other Universities, admission for the Ph.D. programme will proceed after determination of equivalence by the relevant University body and fulfillment of the admission criteria.

- A Ph.D applicant may be admitted to the university through an entrance test only. However, a student who has cleared **UGC/CSIR (JRF) Examinations/NET/SET/SLET/GATE/Teacher Fellowship or any other examination that may be deemed equivalent by the Executive Council or having passed the M.Phil./M.Tech./M.D./M.E./M.Pharm or equivalent examination** shall not be required to appear for the Ph.D written test.
- Admission to the candidates holding a qualifying degree from other Universities may be given admission after the determination of equivalence of the qualifying degree by the relevant university and after the fulfillment of the mentioned admission criteria.
- The total number of seats in the Ph.D programme under each department shall be mentioned on the University website. These numbers will be advertised and thus, admissions to the program shall be conducted on regular basis.
- Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a Foreign 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 Ph.D. programme.
- A person whose M.Phil. Dissertation has been evaluated and recommended for award of the degree, may be admitted to the Ph.D. programme in any Institution on a provisional basis even before the viva-voice or final defence.
- A candidate seeking admission to the Ph.D. programme shall appear for the entrance test in the subject in which he/she has obtained the master's degree or in a relevant related/equivalent subject. The entrance test to be conducted by the Departments individually and all the relevant decisions will have to be taken by the concerned Board of Research Studies (BRS) subject to the concurrence and approval of the Competent Authority of the university.
- The entrance test shall be followed by an interview, conducted by the concerned department of the University, where the candidate will be assessed on the basis of his/her research interest in the relevant field by the Departmental Board of Research Studies.



Note: The candidates who have been exempted from appearing for the written entrance test are also required to appear for the interview.

**Admission criteria for Foreign Students:** The Non-Indian candidates are required to get a clearance from the Government of India and/or from appropriate authorities, if any, for admission to the Ph.D programme.

### How To Apply?

- A candidate after having qualified for the Ph.D Programme (written test and viva voce test for the exempted candidates) shall undertake and complete the courses/ modules equivalent to one semester course work prior to getting registered for the Ph.D programme.
- After fulfillment of the above mentioned admission requirements, the candidate shall apply for the registration to the Ph.D programme through the form prescribed for the purpose along with a non-refundable fees as decided by the University.
- A candidate with post B.Sc. - B.Tech, M.B.B.S. / B.D.S. or equivalent degrees in Law, Social Science, Business Management, Humanities and Library Science may apply for registration of Ph.D programme after having cleared the Entrance Test and after being admitted to the Ph.D course work programme, as per the provisions laid down by the university.
- The registration application in the prescribed form of the candidate must state:
  - Subject or interdisciplinary field in which the candidate desires to have the degree
  - Area of specialization
  - Title of research
  - Name of the supervisor
  - Name of the University Department or recognized Research Institution where the Ph.D programme will be carried out
- The application of the candidate shall be accompanied by 6 copies of the synopsis of proposed research, which shall not exceed 1000 words and must include a title, a short introduction, a brief overview of literature pertaining to the work, Research objectives, research methodologies and the plan of the work, duly countersigned by the supervisor/joint supervisor.
- The application of registration of the candidate will be considered by the concerned Departmental Board of Research Studies at its meeting where the members will ask relevant questions to the candidates concerning the proposed title and area of research work.
- Registration to the Ph.D programme will be sanctioned after the approval of the Vice Chancellor or his nominee and on the recommendation of concerned department.
- The candidate, in appropriate case however, shall submit necessary migration certificate to register them to the Ph.D programme.
- If the concerned Departmental Board of Research Studies does not find the synopsis/plan of work as fit for recommendation, the candidate shall revise the work in the light of the suggestions made by the board, which shall again



be examined by the department within 3 months. If the concerned department does not find the synopsis fit for recommendation even after the revision, the case shall be sent to the Vice Chancellor for the final decision.

- Ordinarily, a Ph.D student shall be registered for the Ph.D programme in a subject in which the candidate has obtained his/her Master's degree. However, if a candidate applies for the Ph.D programme in a subject different from the Master's subject, the matter shall be in the hands of the Departmental Board of Research Studies of the respective subject.
- The registration of the candidate shall remain valid for a period of **6 years only**. In general, a thesis cannot be submitted for adjudication by the examiners before expiry of **2 years** from the date of registration.
- A student shall have to apply for the re-registration before expiry of the tenure of the existing registration, in case the student fails to submit the thesis within the given time.
- A student shall be allowed to re-register only once only after the submission of requisite fees. The continuity of the research work will, however, be maintained and the candidate shall be exempted from all other procedural formalities, if completed earlier.
- The title of the thesis and the synopsis shall be modified only once, if necessary. However, any modification will not be permitted after submission of the seminar report by concerned Departmental Board of Research Studies.

#### **7. Eligibility criteria for admission to the Ph.D. programme:**

The following are eligible to seek admission to the Ph.D. programme:

Candidates for admission to the Ph.D. programme shall have successfully completed: A 1-year/2-semester Master's degree programme (after 4 year undergraduate degree) with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10- point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions.

- a) A 2-year/4-semester Master's degree programme, with the same conditions as in sub-clause (a) above;
- b) A candidate seeking admission after a 4-year/8-semester Bachelor's degree with Research should have a minimum CGPA of 7.5/10.
- c) Candidates who have cleared the M.Phil. course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a Foreign 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 Ph.D. programme.

A person whose M.Phil. dissertation has been evaluated and recommended for award



of the degree, may be admitted to the Ph.D. programme in any Institution on a provisional basis even before the viva-voice or final defence.

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, Economically Weaker Section (EWS) and other categories of candidates as per the decision 3 of the Commission from time to time, or for those who had obtained their master's degree before 19th September 1991.

**Note:** 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, if any. 2.4 A relaxation of 0.5 score, i.e. CGPA of 7/10 or an equivalent relaxation of 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.

The number of seats for the Ph.D. programme decided in advance on annual basis as per UGC Ph.D. Regulations, 2016 Guide Lines for each department of the University shall be notified in the website by the concerned department of the University. The University shall widely advertise in at least two(2) national newspapers of which at least one(1) shall be in the regional language, the number of available seats for the Ph.D. studies, 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 and conduct admission on a regular basis, the frequency of which shall be determined by the concerned University department from time to time.

### **8. Duration of the Programme:**

Ph.D. programme shall be for a minimum duration of two years excluding course work, and a maximum of six years.

Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned, but not beyond more than two years.

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

For student exchanges, provided that they contribute significantly to the completion of the thesis, leave of absence may be granted from the second year onwards on the following basis:

- a) research expeditions (less than one month): authorised by the supervisor and head of the department;
- b) research missions (more than one month): proposed by the department and approved by the Research Advisory Committee for working in National/International Research Laboratories or Centres of Excellence; and
- c) exchange programmes: proposed by the department and approved by the



Research Advisory Committee for working in the Institutions in India/abroad.

Ordinarily, a candidate seeking admission to the Ph.D. programme will appear at the Entrance Test in the subject in which he/she has obtained the Masters degree. In case a candidate wishes to apply for admission to the Ph.D. programme in a subject other than the one in which he/she has obtained the qualifying degree, he/she will have to seek an endorsement by the **Board of Research Studies** of the subject in which he/she seeks admission as a Ph.D. student, at the time of the submission of his/her application for admission to the Ph.D. programme.

The qualifying marks for Entrance Test will be 50%.

The entrance test shall be followed by an interview to be conducted by the concerned department of the University. A candidate who has been exempted from appearing at the entrance test shall also be required to appear at the interview. At the time of interview candidates seeking admission to the Ph.D. programme will be expected to discuss their research interest/area.

The interview shall also consider the following aspects. viz. whether:

- A The candidate possesses the competence for the proposed research;
- B The research work can be suitably undertaken at the place of work;
- C The proposed area of research can contribute to new/additional knowledge.

Candidates selected for the Ph.D. programme will be attached to research supervisor(s) by the Department at the time of their admission and shall be required to enrol as a probationary Ph.D. student on payment of a non-refundable fee determined by the University.

**While granting admission to a Ph.D. student, due attention to the National/State reservation policy is to be given.**

In case of affiliated /sister institutes where admission of PhD fellows are done following UGC, 2016 guidelines, the fellows could apply for registration directly.

A probationary Ph.D. student will be required to complete his/her Ph.D. registration ordinarily within two years from the date of his/her Enrolment, failing which his/her admission in the Ph.D. programme shall ordinarily stand cancelled.

The date of enrolment shall be deemed to be the date of approval of the selected list of successful candidates by the Vice-Chancellor.

A candidate selected for enrolment for Ph.D. programme as a probationary Ph.D. student shall be issued an Enrolment Certificate stating his/her name, subject for

his/her Ph.D. programme, date of enrolment, validity of two years from the date of enrolment and name(s) of supervisor(s).

If after enrolment, a change of Supervisor or of Joint Supervisor or of both is considered necessary, the candidate may apply through the proposed Supervisor(s) for the purpose, and with the concurrence of the previous Supervisor(s) to Hon'ble Vice Chancellor through proper channel. The Head of the concerned Department/ Convener, BRS will forward such applications along with the recommendations of the Departmental Committee/ BRS to the Vice- Chancellor for approval.

In case of continuous non-availability of the Supervisor(s), the Departmental Committee/ BRS may, on the request by the candidate, recommend suitable replacement(s) to the Vice-Chancellor. In the event of the death of a Supervisor, the Departmental Committee/BRS, on being requested by the student, shall recommend to the Vice-Chancellor another enlisted Supervisor for supervision of the research work.

### **9. Procedure for admission:**

All Universities shall admit Ph.D. Scholars through a National Eligibility Test (NET) or National Entrance Test or an Entrance test conducted at the level of individual universities. Provided that, any circular/notification/communication by the UGC/Ministry of Education, Govt. of India regarding the conduct of a common entrance test for this purpose shall be applicable and binding on the Universities concerned (and covered under such a circular/notification/communication).

University is allowed to conduct Ph.D. programmes, shall:

1. decide on an annual basis through their academic bodies a pre-determined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic, research, and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio (as indicated in sub-clause 5.4), laboratory, library, and such other facilities;
2. notify well in advance on 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, the procedure for admission, examination centre (s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the prospective candidates;
3. Adhere to the National/State-level reservation policy, as applicable.

The admission shall be based on the criteria notified by the Institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.



**10. REGISTRATION:**

- a. Any person holding a Master's Degree of this University or its equivalent of a recognized University or Institute and has fulfilled the admission requirements stated above, may apply for registration to the Ph.D. programme in the form prescribed for the purpose along with a non-refundable fee as decided upon by the University.
- b. The Ph.D. programme shall be carried out in the University Department or in an affiliated college recognized specifically for the purpose or in a Research Institute or in a Sister Institute (as per clause 5.9) recognized by the University for the purpose. If the research programme requires utilization of facilities outside the jurisdiction of the University, a student may avail of such facilities with the permission of the Supervisor.
- c. Every application for registration in prescribed form shall state the subject or inter-disciplinary field in which the candidate desires to have the degree, chosen area of specialization, the title of the research, the name of the Supervisor as well as the University Department or recognized Research Institution where the Ph.D. programme will be carried out. The application shall be supported by six copies of the synopsis of the proposed research, which shall ordinarily not exceed 1000 words, and shall include a title, short introduction, a brief review of literature pertaining to the work, Research objectives, Research methodologies and the plan of work, duly countersigned by the Supervisor and Joint Supervisor, if any.
- d. Application for 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, who will share the responsibility equally with the Supervisor for guiding the research work. The Ph.D. scholar is required to present his/her 1000-word-synopsis before the **Board of Research Studies**. On the recommendation of the **Board of Research Studies** concerned and with the due approval of the Vice Chancellor, the candidate will be allowed to be registered for the Ph D. programme. The University shall maintain the list of all the Ph.D. registered students 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.

If the **Board of Research Studies** does not consider a Synopsis/Plan of work as fit for recommendation, it shall again be examined by the Committee ordinarily within three months, after proper revision by the candidate in the light of the suggestions made by the relevant **Board of Research Studies**. If, even after this revision of the content, the **Board of Research Studies** does not recommend the case, the matter shall be placed at the meeting of the higher academic bodies.

- e. Ordinarily, a Ph D student will be registered for a Ph.D. programme in a subject in which the candidate has obtained Master's Degree. In case a candidate applies for Ph.D. registration in a subject other than in which he/she has obtained Master's degree, registration will be decided by the **Board of Research Studies** of the subject in which the candidate desires to be registered for Ph.D. programme.(To be read with clause 5.3 of the regulation.)
- f. In all cases, the date of registration shall be deemed to be the date of approval by the Vice-Chancellor, on the recommendation of the **Board of Research Studies**. The registration of a candidate shall remain valid for a period of **six years from the date of enrolment (vide clause 5.10)**. 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. Ordinarily, a student will be allowed to be re-registered for once only. The continuity of the research work will, however, be maintained and the candidate will be exempted from other procedural formalities, if completed earlier.

The validity of re-registration will be of five (05) years from the date of re-registration which will be deemed to be the next date of the date of expiry of the preceding Ph.D. registration, subject to approval of the Vice-Chancellor granting such re-registration.

- g. The title of the thesis and the synopsis may be modified, if necessary, by the student and duly forwarded by the Supervisor with due concurrence of the **Board of Research Studies** concerned. However, such modification will ordinary not be permitted after submission of the seminar report by the **Board of Research Studies**.

#### 11. ELIGIBILITY CRITERIA FOR Ph.D. SUPERVISOR:

Each **Board of Research Studies** shall maintain a list of Research Supervisors duly approved by the Vice Chancellor upon the Committee's recommendation. The committee shall send the list(s) and also the subsequent changes/additions to the Registrar.

- a. The criteria for the faculty to be recognized as Research Supervisor shall be:
  - a) Any regular teacher / equivalent academic staff of this University or affiliated Colleges or scientists and academics of sister institutes of this University can have Ph.D. scholar enrolled under them.
  - i) Any regular Professor / equivalent academic staff equivalent position at the **sister institute** of the University and Colleges affiliated to this University.

Any regular Associate/Assistant Professor /equivalent position at the **sister institute** of the University/ Colleges affiliated to this University with a



Ph.D. degree and at least three research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas /disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- ii) Only a full time regular teacher of this University /Colleges affiliated to this University and persons in equivalent positions at the sister institute of this University can act as a supervisor. The external supervisors are not allowed. However, Joint Supervisor can be allowed in inter-disciplinary areas from other departments of this University or from other related institutions with the approval of the **Board of Research Studies**.
  - iii) The allocation of Research Supervisor for a selected research scholar shall be decided by the Departmental Committee 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.
  - iv) In case of topics which are of inter-disciplinary nature where the Departmental Committee feels that the expertise in the Department has to be supplemented from outside, the Departmental Committee may appoint a Research Supervisor from the Department itself, who shall be known as the Supervisor, and a Joint/Associate Supervisor from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.
  - v) A Supervisor who is a Professor / equivalent position at the sister institute, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor / equivalent position at the sister institute as Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor / equivalent position at the sister institute as Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
  - vi) In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- b. In case of collaborative research work, teachers of other recognized Universities/ Institutes may be allowed to act as Joint Supervisors, if deemed

fit by relevant **Board of Research Studies**.

The Ph.D. programme shall be pursued by a candidate ordinarily for a minimum period of three (3) years after enrolment /admission in Departments or Institutions maintained or recognized by or affiliated to this University, under the supervision of the recognized Research Supervisor(s).

In addition to the Supervisor and/or Joint Supervisor, an Associate Supervisor may also be recommended by the Supervisor at the time of the enrolment/registration or at a later stage in special cases, where the research work involves study or investigation in more than one subject or area of knowledge, and the student needs guidance from an expert in an allied area of knowledge for part of the research work. The Supervisor, while recommending the name of an Associate Supervisor, shall indicate the part of the research work for which the help of the Associate Supervisor is required.

- b. The number of Ph.D. candidates of this University may be determined annually by the concerned department from time to time in accordance with the U.G.C. regulations. A Supervisor shall not have, at any given point of time more than the number of Ph.D. students, as mentioned in clause 7.1a (v).

**12. ALLOCATION OF SUPERVISOR:** The allocation of a supervisor for a selected student shall be decided in a formal manner depending on the number of students working under the supervision of each supervisor, the available specialization among the faculty supervisors, the research interest of the student as indicated during the interview by the student and finally in consultation with the respective student and the faculty member. The allocation of supervisor shall not be left to the individual student or teacher except where the terms and conditions of the research fellowship/grant enjoyed by the student determine the choice of the supervisor.

- a. **ACADEMIC, ADMINISTRATIVE AND INFRASTRUCTURE REQUIREMENT TO BE FULFILLED BY COLLEGES FOR GETTING RECOGNITION FOR CONDUCTING Ph.D. PROGRAMME:** Colleges affiliated to this University having post graduate teaching facilities in subject(s) may be considered eligible to offer Ph .D programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per these Regulations.

Post-graduate Departments of affiliated Colleges of this University, Research laboratories of Government of India/State Government with at least three Ph.D. qualified teachers/scientists/other academic staff in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under clause 9.3, shall be considered eligible to apply for



grant of recognition to conduct PhD Programme. **Colleges must have the necessary recognition by the University to conduct the Ph.D. programme.**

Affiliated Colleges of this University with adequate facilities for research as mentioned below shall conduct Ph.D. programmes:

- 9.3 (a) 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;
- 9.3 (b) 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;

**13. COURSE WORK: CREDIT REQUIREMENTS, NUMBER, DURATION, SYLLABUS, MINIMUM STANDARDS FOR COMPLETION, ETC.**

- a. The credit assigned to the Ph.D. course work shall be of 08 credits. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- b. All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- c. The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the **Board of Research Studies**.
- d. All candidates admitted to the Ph.D. programmes shall be required to complete the course work of one semester duration prescribed by the Department ordinarily **within two years from the date of enrolment**.
- e. Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

- f. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the **Board of Research Studies** and the **Department** and the final grades shall be communicated to the **Registrar**.
- g. A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

The University departments and/or other authorities conducting Course work are to issue the marksheet or equivalent grade card as described above.

- h. Only upon the satisfactory completion of course work, the department and/or other authorities will provide a completion certificate to the Ph.D. student. Such students will be allowed to make the pre-Ph.D. presentation at the Departmental seminar after registration for Ph.D. programme. The **Registrar** will sign the Coursework Completion Certificate and by the University.
- i. The Course work may be carried out in a sister department either within or outside the University/Institutes for which due credit shall be given to Ph.D. Students. The Course work from other Institutes must get the equivalence clearance from the **Board of Research Studies** concerned.

#### 14. SUBMISSION AND EVALUATION:

- a. Prior to submission of thesis, the candidate shall through the Supervisor (Joint Convenor) forward to the Convenor of the **Board of Research Studies** six copies of the summary of work preferably within 5000 words. The Convenor of the **Board of Research Studies** shall circulate the summary to the members of the **Board of Research Studies** at least fifteen days before holding a Departmental Seminar. At the pre Ph.D. seminar, the candidate shall report the research work in the presence of at least one external member of the **Board of Research Studies** and the Supervisor (Joint Convenor). The Head of the Department, the Joint Supervisor and the Associate Supervisor, if any, should be invited to the seminar. Notice of the seminar shall be circulated amongst teachers and the same be put up on the Departmental Notice Board and may also be sent to the Heads of the allied Departments.
- b. During the seminar any member of the **Board of Research Studies** or any faculty member present may put forward specific suggestions, if any, to the candidate, and if necessary, in writing. The candidate will be required to work upon the suggestions given by the committee.
- c. If required, the **Board of Research Studies** may ask the candidate to reappear at the seminar.



- d. Immediately after the seminar, the Convenor of the **Board of Research Studies** shall forward to the University a report in the prescribed form, on the performance of the candidate.
- e. At least three months prior to submission of the thesis, the Supervisor (Joint Convenor) and the members of the **Board of Research Studies** shall meet to prepare a panel of six experts [preferably three (3) from outside the State] for the written part of the thesis and for the viva-voce. The Convenor of the **Board of Research Studies** shall forthwith send to the Registrar the recommended panel of experts, may be along with their consents, to be obtained by the Supervisor and duly endorsed by the Convenor, for adjudication of the thesis and for the Viva- voce, along with eight copies of the abstract of the thesis of the candidate, not exceeding 300 words. Submission in electronic format, as prescribed by the University, may also be allowed).
- f. The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor, and Joint Supervisor, if any and at least two external examiners, who are not in employment of the University /College, of whom one examiner may be from outside the state/country.
- g. Ph.D. candidates shall at least publish one research paper in a refereed journal before the submission of the thesis for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint. Where refereed journals are not available, Departmental committee will submit the names of available journals in the related discipline to the **Higher Academic Bodies** for consideration in place of refereed journals.
- h. Ph.D. scholars, apart from presentation in the Departmental Seminar, (vide clause No. 11.1), must make one paper presentation in conference/seminar before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificate.
- i. **The candidate shall submit three (four, in case there is a Joint Supervisor) type written or printed copies, having print on both sides of a page, of the thesis along with electronic version (CD in prescribed .pdf Format) attached to each copy of thesis and also an extra copy of electronic version, within six (6) years but not ordinarily earlier than three (3) years from the date of enrolment for the Ph.D. programme.**

In case candidate fails to submit his/her thesis within six (6) years as stipulated, the clause of Re-registration (6.8) will apply.

- j. The candidate shall also deposit a fee, 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.

- k. 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. The candidate will not, however, be precluded from incorporating any such work in a thesis covering a wider field, provided a clear statement of the work so incorporated is given.
- l. The University shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from 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 University or to any other Institution.
- m. The Vice-Chancellor shall appoint a panel of three experts including the Supervisor (or four experts, if there is Joint Supervisor), out of which at least one shall be from outside the State, after considering the suggestion of the relevant **Board of Research Studies** for adjudication of the thesis (The adjudicators/examiners shall send the report in the prescribed format).
- n. When a thesis is unanimously and unconditionally recommended for the Degree by all the examiners, the candidate will be eligible for appearing at the Viva-Voce.

If any examiner suggests modifications/corrections to incorporate in the thesis, the Vice-Chancellor may ask the candidate to incorporate such modifications/corrections in his/her thesis before viva-voce.

The Vice-Chancellor may also consider to send back the modified/corrected thesis, as submitted by the candidate, to the concerned examiner, if it is so desired by the examiner, for his/her final observation on the modified/corrected thesis.

- o. If there is any ambiguity or conditionality in the reports of the examiners, the Vice-Chancellor may consider the appointment of a third external examiner.
- p. In case of non-recommendation by one of the external examiners, the Vice-Chancellor may consider the appointment of a third external examiner from the existing panel of examiners or if necessary, from a new panel recommended by the **Board of Research Studies**.

The Vice-Chancellor may also, if necessary, refer such and other cases to the



**Higher academic bodies**, constituted for the purpose. The **Higher Research Advisory Committee** shall consist of the following members:

Vice-Chancellor (Chairman), Registrar (Member Secretary)

**15. CONSTITUTION OF THE Ph.D. RESEARCH ADVISORY COMMITTEE:**

The Ph.D. programme shall be monitored by the relevant higher academic bodies with the help of the Ph.D. Research Advisory Committee.

The Vice-Chancellor shall constitute **Ph.D. Research Advisory Committee** on various subjects or distinct specializations within subjects and inter-disciplinary fields in consultation with the relevant Departmental Committee.

- a. A **Board of Research Studies** shall consist of five distinguished scholars of whom ordinarily at least three shall be whole time teacher of this University and at least one shall be an external expert (not being whole time teacher of this University), in the subject. The Vice-Chancellor shall ordinarily nominate the Head of the Department as the Convener of the **Board of Research Studies**. The Coordinator of a University Department, if such a Coordinator of Department is not a member of the **Board of Research Studies**, may be a permanent invitee to all meetings of the **Board of Research Studies**. Each Supervisor shall be the **Joint Convener** of the Candidate Specific **Ph.D. Research Advisory Committee** for each enrolled/registered Ph.D. scholar.
- b. For a subject in which there is no University Post-graduate Department or in which a sufficient number of University teachers is not available, the Vice-Chancellor, in consultation with the Faculty Council concerned, may constitute a **Board of Research Studies** with five experts in the subject. The Vice-Chancellor shall nominate one of them as the Convener of the **Board of Research Studies**. This **Board of Research Studies** will take all the necessary decisions regarding admission/supervision/course work and other matters which in other cases will be monitored by the Departmental Committee.
- c. The tenure of a **Board of Research Studies** shall be for a period of four years unless otherwise decided by the Vice-Chancellor. The **Board of Research Studies** shall ordinarily meet once in 3 months and resolutions of such meetings shall be maintained by the Convener with the secretarial help provided by the Head of the Department concerned.
- d. Three regular members will constitute the quorum of the meeting. If two consecutive meetings fall through due to lack of quorum, the matter will be referred to the Vice-Chancellor for appropriate action.

**16. VIVA - VOCE:**

- a. 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.** 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 with the permission from the Vice- Chancellor.

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.

- b. 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**, all faculty members of the Department, other research scholars and other interested experts/researchers.
- c. The examiners of the Viva-voce shall jointly submit a report to the Registrar on the performance of the candidate at the said examination, clearly indicating whether the candidate deserves to be admitted to the Ph.D. 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 after a period of three months from the date of the first Viva-Voce.
- d. The Vice-Chancellor, after considering the reports on the thesis and the viva-voce, shall recommend to the EC the award of the Ph.D. Degree to the candidate.
- e. A diploma 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 of Doctor of Philosophy in (name of the subject: within parentheses, broad field of specialization, if any) under the Faculty (name of the Faculty) of this University in the year (year of admittance to the degree)"

- f. In case a candidate is not awarded the Degree on the basis of reports of the adjudicators or of the Viva-Voce examiners, the Vice-Chancellor on the recommendation of the **Board of Research Studies** concerned, may permit the candidate to resubmit the thesis after necessary corrections or modifications after six months but within two years from the date on payment of usual fee for submission.
- g. A copy of the thesis accepted for the Degree of Doctor of Philosophy, with necessary corrections or modifications, if there be any, shall be retained in the University Library.

17. Award of degrees to candidates enrolled/registered for the Ph.D. programme on or after July 11, 2009 till the date of approval of these Regulations by the EC followed by Notification shall be governed by the provisions of the Ph.D. Regulations, 2017 of the University framed under the guidelines of the



University Grants Commission (Minimum Standards and procedure for Award of M.Phil/Ph.D. Degree) Regulation, 2009.

**18. DEPOSITORY WITH UGC:**

- a. Following the successful completion of the evaluation process and announcement of the award of the Ph.D. degree, the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/ Universities.
- b. Along with the Degree, the University shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of these Regulations framed under the guidelines of the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016.

**19. De-specification of M.Phil Degree:**

The M.Phil (Master of Philosophy) degree shall be despecified from the Academic year 2022-23 onwards. M.Phil. degree awarded till the date of notification of these regulations shall remain valid.

**20. Issuing a Provisional certificate:**

Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations. 14. Award of Ph.D. degrees prior to Notification of these Regulations, or degrees awarded by foreign Universities:

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 and 2016 and their amendments.

If the Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the Institution concerned to determine the equivalence of the degree awarded by the foreign University.

**21. Code and conduct of Ethics:**

It is envisaged that all HEIs will have a well-defined policy and establish a well-laid procedure for handling allegations of misconduct in research. For this, there must be a clear definition of misconduct with a sufficient legal foundation that defines the circumstances constituting misconduct and prescribe procedural rules, along with measures to be taken if such allegations are upheld after following due process. The regulations which are enacted by HEIs shall clearly define the responsibility at each step of the procedure, the process for consideration of the available evidence, will define the provision for constitution/ selection of

investigation committees members, provisions to rule out conflicts of interest, the procedural principles of the rule of law and Ombudspersons for resolving any disagreement. It is important that the complainant and respondent, both are allowed to be heard at every stage of the process. It should be ensured that information relating to the persons involved in the ongoing process and the findings of the investigation are treated in confidence until it is demonstrated that misconduct has occurred. If the occurrence of misconduct is established and the appropriate disciplinary proceeding is considered, the responsible bodies should also be included in deliberations. HEIs should also ensure the completion of the entire process as fast as possible and the necessary steps should be promptly taken to complete every stage of the procedure within a given appropriate time frame.

**Explanation:** It is to be emphasised that every breach of good research practice does not constitute misconduct and the same needs to be distinguished. Only when there is a deliberate or grossly negligent infringement as defined in a set of regulations should be considered scientific misconduct including fabrication or falsification of data, and plagiarism using data from other authors' work. While this set of rules and regulations centres on all academic aspects of admission, programmes, progress, and graduation, reference must also be made to separate (but linked) institutional codes and regulations that shall affect the life of research students at HEIs, notably:

**Code of Good Academic Research Practices - The Disciplinary Regulations -** Policy on Harassment Prevention The registration to the Ph.D. programme at the Higher Educational Institution signifies that she/he has accepted the conditions and guidelines set out in the policies and that she/he commits her/himself to respect all aspects of research throughout the programme on which she/he has registered. To further inform researchers on aspects of research such as academic responsibility and integrity, the Higher Educational Institutions shall from time to time provide courses or workshops on research ethics.

**Authorship** For academic accountability, all the authors must make a genuine, identifiable contribution to the content of a research publication in experimental planning, experimentation, collection/ analysis of data, software, and/or writing of the text. It is also important that all authors have agreed on the final version of the work to be published. Unless it has been explicitly stated otherwise, they all share responsibility for the published work.

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