



NETAJI SUBHAS OPEN UNIVERSITY

Ph.D. Regulations 2018

**DD-26, Sector-I, Salt Lake,
Kolkata-700 064
Website : www.wbnsou.ac.in**



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REGULATIONS RELATING TO Ph.D. PROGRAMME

[Framed in compliance with the University Grants Commission (UGC) (Minimum Standards and Procedures of Award of M.Phil./Ph.D. Degrees) Regulations, 2016 and successive amendment(s) till the date on which this regulation will come into effect read with permission granted to Netaji Subhas Open University by UGC vide their Memo No.F.No.2-1/2017 (DEB-III/DEB-IV) dated 19 May 2017]

1. Short title, Application and Commencement:

- 1.1 These Regulations shall be called the Netaji Subhas Open University (NSOU) Ph.D. Regulations 2018 relating to award of Ph.D. degree.
- 1.2 To be applied for all the Ph.D. programmes offered under the ambit of Schools of Studies and Academic Departments of NSOU.
- 1.3 They shall come into force from the date of notification subsequent to its approval by the competent authority of the University.

2. Definitions:

In this Regulations, unless the context otherwise requires:

- 1) “Executive Council” means the Executive Council of the University;
- 2) “Academic Council” means the Academic Council of the University;
- 3) “School of Studies” means School of Studies of the University;
- 4) “Department” means Academic Department under the School of Studies of the University;
- 5) “Research Advisory Committee” means the Research Advisory Committee (RAC) of the University [vide clause no.19 of NSOU First Statute (Revised), 2014];
- 6) “Departmental Research Committee” means Departmental Research Committee (DRC) [vide clause no.8 of this Regulation];
- 7) “Ph.D. Student” means any person who has enrolled and registered himself for pursuing Ph.D. programme of the University;
- 8) “Notification” means a notification published by the University in the University Official Website and brief insertion in Newspapers;
- 9) “Prescribed” means rules prescribed under this Regulations;

- 10) "Rules" means the Rules subsequently framed under this Regulations;
- 11) "State Government" means the Government of West Bengal in the Department of Higher Education, Science & Technology and Bio-Technology;
- 12) "Statutes" and "Ordinances" means respectively the Statutes and Ordinances made under THE NETAJI SUBHAS OPEN UNIVERSITY ACT, 1997 (W.B. ACT (XIX) OF 1997);
- 13) "Teacher" means a Professor, Associate Professor, Assistant Professor of the University appointed on substantive basis;
- 14) "The University" means the Netaji Subhas Open University as constituted under W.B. ACT (XIX) OF 1997;
- 15) Date of Entry in Ph.D. programmes means date of enrollment/registration in the Ph.D. programme.

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:

- 3.1 Master's Degree holders with at least 55% marks in aggregate or its equivalent in a point scale wherever grading system is followed and candidates qualified at the UGC-NET/ GATE /SET /SLET/ UGC-CSIR NET /Teacher Fellowship holder shall be allowed by the RAC to appear for the Entrance Test (viva-voce/interview) in any subject offered by the respective School of Studies.
- 3.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those candidates belonging to SC/ST/OBC (non-creamy layer)/differently abled, and other categories of candidates as per the decision of the University Grants Commission from time to time. The eligibility marks of 55% (or an equivalent grade in 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 procedure.
- 3.3 Candidates who have cleared NET and M.Phil. course work with at least 55% marks in aggregate, or an equivalent grade on the point scale of the grading system followed by the university, shall be eligible to proceed to take up research work leading to Ph.D. Degree. A relaxation

of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to the SC/ST/OBC (non-creamy layer)/differently abled and other categories of candidates as per the decision of the University Grants Commission from time to time.

4. Duration of the Programme:

- 4.1.1 Ph.D. programme shall be for a minimum duration of three years, including the course work and for a maximum period of six years.
- 4.1.2 The registration for the Ph.D. degree shall remain valid for a period of six years including the course work from the date of entry into the Ph.D. programme of the University.
- 4.1.3 Extension of registration period beyond the above limit will be governed by the relevant rule as may be stipulated from time to time. After the expiry of the registration period including extension period if any the registration will be treated as cancelled.
- 4.2 Women candidates and persons with more than 40% disability may be allowed a relaxation of two years for Ph.D. programme 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. programme for up to 240 days.

5. Procedure for Admission:

- 5.1.1 Candidates qualified at the UGC-NET/ GATE /SET /SLET/ UGC-CSIR NET / Teacher Fellowship holder shall be allowed by the RAC to appear for the Netaji Subhas Open University Research Entrance Test [NSOURET (viva-voce/ interview)].
- 5.1.2 Each School on receipt of the relevant input(s) from the Department(s) concerned shall notify a list of faculty along with its Research Student intake capacity along with reservation status following the Government norms.
- 5.1.3 During interview/viva-voce the candidates are required to discuss their research/interest area before the DRC. The Committee shall consider that (a) the candidate possesses the competence for the proposed research work, (b) the research work can be suitably undertaken at the institution and (c) the proposed research can contribute to new/ additional knowledge.

- 5.1.4 Admission Notification should be published in two national newspapers of which at least one shall be in the regional language. The detailed notice in University website should contain the number of seats, subject/ discipline-wise distribution of available seats, criteria for admission, procedure for admission, and all other relevant information for the benefit of the candidate.
- 5.2. The admission shall be based on the criteria notified by the University keeping in view the guideline /norms in this regard issued by the UGC and other statutory bodies concerned and taking into account the reservation policy of the State Govt. from time to time, on payment of the fees as stipulated by RAC.
- 5.3 The interview /viva-voce followed by presentation shall be considered by DRC on the following aspects viz. whether:
 - 5.3.1 The candidate possesses the competence for the proposed research;
 - 5.3.2 the research work can be suitably undertaken at the University under its various Schools of Studies.
 - 5.3.3 the proposed area of research can contribute to new/additional knowledge;
 - 5.3.4 List of successful candidates prepared by the respective Schools of Studies shall be published in university website.
- 5.4 An enrolled Ph.D. student will be required to complete his/her Ph.D. registration within 2 (two) years from the date of his/her enrollment, failing which his/her admission in the Ph.D. programme shall automatically stand cancelled.

6. Allocation of Research Supervisor:

Eligibility criteria to be a research Supervisor, Co-supervisor, number of Ph.D. Student permissible per supervisor etc.

- 6.1 Any full time Professor in substantive post of the University with at least five research publications in refereed / peer-reviewed journals and any full time Associate/ Assistant Professor in substantive post, of the University, with a Ph.D. degree and having at least two research publications in refereed / peer-reviewed 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 to be recorded in writing. The RAC shall decide on the matter on the recommendation of the DRC.

- 6.2 Only a full time teacher of the University employed against a substantive post, can act as a supervisor. Any external person will not be allowed to act as Supervisor. However, Co-Supervisor who is a Professor/ Associate Professor or Assistant Professor on substantive basis may be allowed in inter-disciplinary areas from other Departments/ Research Centres, Organisations/Colleges from other universities/Higher Educational Institutes (HEIs)/Universities with the approval of the RAC.
- 6.3 The allocation of Research Supervisor for a selected Ph.D. student shall be decided by the DRC of the respective Schools depending on the number of Ph.D. Students per Research Supervisor, the available specialization among the supervisors and research interests of the Ph.D. Student as indicated by them at time of interview/viva-voce. All Supervisors and Co-supervisors, if any need to submit a declaration to the Director/Officer In Charge of the concerned Schools of Studies/ Competent authority, that the allotted candidate(s) after final selection are not closely related to him/her.
- 6.4 At any given point of time a Research Supervisor and/ Co-Supervisor if any, belonging to the rank of Professor, Associate Professor, Assistant Professor cannot guide more than Eight (8), Six (6) and four (4) Ph.D. Students respectively. The number of the Research Students allotted to a Research Supervisor and/or Co-Supervisor should not exceed the respective maximum limits as prescribed herein above, subject to approval of RAC.
- 6.5 In case of relocation of a woman Research Student due to marriage or otherwise, the research data shall be allowed to be transferred to the University/ HEIs to which the Ph.D. Student intends to relocate, provided all 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 Research Student will however give due credit to the supervisor of the parent institution for the part of research already undertaken.

- 6.6 In case of dissociation of a supervisor or co-supervisor from the University for reason(s) whatsoever, the recommendation of the DRC concerned in the matter of reallocation of a supervisor or co-supervisor, whatever the case may be, for the Research Student(s) should be placed before the RAC for approval / final decision.

7. Course Work:

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

- 7.1 The credit assigned to the Ph.D. Course Work (CW) of 6-month duration (one semester) shall be consisting of a minimum of eight credits.
- 7.2 The Course Work shall be treated as a prerequisite for Ph.D. preparation. Four (4) credits shall be assigned to one or more courses on Research Methodology which would 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 assigned to advance level courses for preparing the students for Ph.D. degree.
- 7.3 All courses prescribed for Course Work shall be in conformity with the credit hour, instructional Requirement and shall specify the content, instructional and assessment methods. They shall be duly approved by the RAC.
- 7.4 The Schools of Studies where the Research Student pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the DRC, as constituted under Clause-8 of these regulations.
- 7.5 All candidates admitted to Ph.D. programmes shall require to complete the Course Work prescribed by the DRC concerned, during the semester (of six month duration).
- 7.6 For candidates already holding M.Phil. degree compliant with the UGC (minimum standards and procedures of award of M.Phil./Ph.D. degrees) Regulations, 2016 and admitted to the Ph.D. programme, be exempted from doing the Course Work. All other candidates admitted to the Ph.D. programme shall be required to complete the Course Work prescribed by the DRC.

7.7 Evaluation of Course Work:

- 7.7.1 The RAC may be entrusted with preparing the course-structure and modalities of the evaluation process from time to time and the same will be made available in the university website. The respective DRCs will frame their syllabi accordingly.
- 7.7.2 There shall be an evaluation at the end of the semester (6-month duration).
- 7.7.3 The evaluation of the students shall be based on their performances in the review work/ dissertation/ written and other continuing/ internal evaluation, if any, as recommended by the DRC concerned.
- 7.7.4 In order to qualify the Course Work, a candidate shall have to obtain a minimum of 55% marks or an equivalent grade on the point scale of the grading system in each paper, and a 'Satisfactory' in a non-credit paper, if any, failing which the candidate shall be given one consecutive additional chance to appear in the next term of evaluation.
- 7.7.5 A candidate can complete the course work in other recognized University / HEIs. However, the completion of the Course work will be accepted after evaluating the equivalence of the courses offered by those universities / HEIs by RAC.

8. Departmental Research Committee (DRC) and its functions:

There shall be a DRC in each of the Academic Department

- i. The Director/Officer-in-charge of the School shall be the Chairperson of DRC.
- ii. All teachers of this University having Ph.D. of the department shall be member of DRC.
- iii. Three external subject experts, who will be the members of the DRC concerned, are to be co-opted at the first meeting of the DRC subject to approval of Chairman of RAC. The external experts shall not be below the rank of Associate Professor of other universities/ Higher Educational Institutes (HEIs).
- iv. Head of the Department shall be the Convener of respective DRC.
- v. Tenure for DRC shall be of 2 years.

Functions of the DRC shall be as follows:

- i. To conduct the interview of the candidates to be selected;
- ii. To review the research proposal and finalize the topic of research;
- iii. To allocate supervisor of the candidates who are recommended for admission;
- iv. To guide the Ph.D. Student to develop the study design and methodology of research and to identify the course that he/she may have to do;
- v. To periodically (once in six months) review and assist in the progress of the research work of the Ph.D. Student;
- vi. A Ph.D. Student shall appear before the DRC once in six months to make presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress report shall be submitted by the DRC to the Research Advisory Committee (RAC) with a copy to Ph.D. Student concerned;
- vii. In case the Progress of the Ph.D. Student is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the Ph.D. Student fails to implement these corrective measures within a period not exceeding three months, the DRC may recommend the same to next meeting of the RAC with specific reasons for cancellation of the registration of the Ph.D. Student concerned.

9. Registration for Ph.D. Programmes

The list of successful candidates duly recommended by the RAC will be published in the University website following which they will have to apply for registration before starting of course work as per instructions to be detailed including the fee structure, in the University website.

The University shall maintain a list of all Ph.D. registered students in its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrollment/ registration and validity date of registration.

10. Evaluation and Assessment Methods of the Ph.D. Thesis, Minimum standards/credits for award of the degree, etc.

- 10.1 Upon completion of the Course Work with 55% marks or its equivalent grade in the UGC 7-point scale as the case may be, a Ph.D. Student shall be required to undertake the research work and produce a draft thesis within a minimum duration of two years and maximum duration of five years from the date of enrollment/registration excluding the time required to complete the Course Work.
- 10.2 Prior to the submission of the dissertation/thesis, the Ph.D. Student shall make a Pre-submission presentation in the School/Department before the DRC concerned which shall also be open to all faculty members and other research Ph.D. Students, the feedback and comments obtained from them may suitably be incorporated into the draft dissertation/thesis in consultation with the DRC within a period as specified by the RAC.
- 10.3 Ph.D. Student must publish at least one (1) research paper in refereed /peer-reviewed journal and make at least two (2) paper presentations in conference /seminar before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and /or reprints.
- 10.4 While submitting for evaluation, the dissertation/thesis shall incorporate an anti-plagiarism report based on a software procured and approved by the University, to be operated from the Library, and shall contain an undertaking from Ph.D. Student as well as a certificate from the research supervisor attesting the originality of the work, vouching that there is not more than 25% of plagiarism (excluding the bibliography and works already published elsewhere by the Ph.D. Student), and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. The DRC shall decide the mechanism to detect plagiarism and other forms of academic dishonesty for theses for which anti-plagiarism software is not available. For such subjects, an affidavit by the Ph.D. Student and a certificate from the research supervisor attesting the originality of the work have to be submitted.
- 10.5 The Ph.D. thesis submitted by a Ph.D. Student shall be evaluated by his/her Research Supervisor and two external examiners who is not in

the employment of this university. One of the external examiners shall be from outside the State of West Bengal. Subsequent to receipt of favorable adjudication report, the viva-voce examination will be arranged.

- 10.6 After completing the thesis and having complied with all other requirements under these regulations, herein above, the Ph.D. Student shall submit the thesis for adjudication, along with a certificate from the supervisor(s) and DRC recommending submission. The candidate shall submit four (4) copies of Ph.D. thesis, embodying the results of his/her research and enclosing evidence of originality of research work and non-plagiarism as certified by the supervisor(s) as required under Clause 10.4. At the time of thesis submission, the candidate shall also submit ten copies of the abstract (within one thousand words) of the thesis, and two CDs containing the entire thesis as a pdf along with the article(s) published and the papers presented in conference(s).
- 10.7 All fees recommended by the RAC, as may be prescribed from time to time, for submission of the thesis, shall be deposited after receiving permission from the Registrar for making this deposit.
- 10.8 The Ph.D. thesis submitted by a Ph.D. Student shall be evaluated by his/her Research Supervisor and two external examiners, who are not in employment of this University, one of whom shall be from outside the State of West Bengal. The supervisor shall submit a panel of at least eight (8) eligible [four Examiners from outside the State of West Bengal + four Examiners from the State of West Bengal] experts to the Registrar under a sealed envelope, for appointment as examiners for adjudication of the Ph.D. thesis. The submitted panel of examiners, shall include postal, e-mail addresses (if available) and telephone number(s) (if available) of the examiners.
- 10.9 The panel as submitted by the supervisor or by the Head of the Department, as the case may be, shall be placed for consideration before the Chairman of RAC by the Registrar for approval. The Vice-Chancellor shall nominate two Ph.D. examiners from the panel mentioned in 10.8 order of her/his preference.
- 10.10 Along with her/his thesis every candidate shall submit clearance certificates issued by the Finance Branch, the University Library and School/Department and such other documents as may be specified to the Registrar. Incumbent concerned is required to submit the prescribed

non-refundable fees along with thesis submitted. The candidate shall also be required to bear the postal charges for dispatching the thesis to the examiners as soon as this is intimated to him/her.

- 10.11 Provided that if the tenure of a regular research fellowship has not expired before submission of the thesis, the clearance certificates will be submitted as soon as the tenure is over. Such candidates shall be required to submit an undertaking to this effect at the time of submission of the thesis.
- 10.12 Before sending a thesis to an examiner, her/his consent for evaluation of the thesis shall be sought through E-mail/Fax/Postal Service/Courier Service by the Registrar. If no response is received from the examiner within fifteen days, a reminder will be sent allowing a time gap of another seven days. If still no response is received from the proposed examiner, or if the request is declined, the consent shall be sought from another examiner to be nominated by the Vice-Chancellor from the approved panel.
- 10.13 The examiners will be requested to send their evaluation reports in the prescribed pro-format within forty five (45) days from the date of receipt of the thesis. The amount of remuneration for which the examiner is eligible shall also be communicated to the examiner. A reminder will be sent to return the evaluated thesis within fifteen (15) days period or the thesis be returned to the university in case the examiner is not in a position to evaluate the thesis within the said fifteen (15) days.
- 10.14 In case no response is received from the examiner even after such reminders, the appointment of the examiner shall be cancelled after informing him/her, and the thesis shall be referred to another examiner, to be nominated by the Vice-Chancellor from the approved panel. In case the whole panel is exhausted, a fresh list of examiners shall be selected following the procedure as mentioned in clause Nos.10.8 and 10.9.
- 10.15 An open viva-voce based among other things, on the critiques given in the evaluation report, shall be conducted by the concerned Research Supervisor and at least one external examiners ; and shall be open to be attended by the members of the RAC, all faculty members of the Department/Centre, other Ph.D. Students of the department and other

interested experts/ researchers. Such viva-voce shall be arranged by the concerned Schools of Studies.

- 10.16 The open viva-voce of the research Ph.D. Student to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are positive, on receipt of which the matter shall be placed before the Vice-Chancellor for necessary approval for conducting the Viva-Voce.

If the evaluation report of the external examiner of Ph.D. thesis is unsatisfactory and recommend for modification of the thesis, the Vice-Chancellor shall also consider to send back the modified/corrected thesis, as submitted by candidate, to the concerned examiner, if it is so desired by the examiner/adjudicator, for his/her final observation on the modified/corrected thesis. If still the observation of the examiner/adjudicator is negative and do not recommend viva-voce examination the university shall send the thesis to another external examiner out of the approved panel, and the viva-voce examination shall be held only if the report of the last examiner is satisfactory. If the report of the last examiner is also unsatisfactory, the thesis shall be summarily rejected and the Ph.D. Student shall be declared ineligible for the award of the degree.

- 10.17 The university shall complete the entire process of evaluation of Ph.D. thesis ordinarily within a period of six months from the date of submission of the thesis.

- 10.18 All recommendations of the examiners and the viva-voce report relating to the evaluation of a thesis shall be placed before the RAC/Chairperson of RAC for approval and to be reported in the next meeting of the Executive Council.

11. Repository with INFLIBNET:

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 institutions/ universities/colleges.

- 12. Change of title and the Language of the thesis:** The title of the thesis may be modified if necessary by the Ph.D. student duly recommended by the Supervisor with due concurrence of the DRC and with approval of the Chairperson of RAC. However, such modification will not be permitted after

submission of the pre-submission seminar report by the RAC. Normally the language of the thesis shall be English (except Ph.D. programme in Bengali) unless the RAC allowed to use language other than English on the request of the Ph.D. student.

- 13. Availability of report of the examiners to the candidate:** After the degree is awarded, the reports of the examiners may be issued/shown to the candidate on request but without disclosing the identity of the examiners.
- 14. Issuance of provisional certificate:** The University shall issue a provisional certificate to the effect that the degree has been awarded in accordance with the provision of the regulations relating to Ph.D. programme and also in compliance with the UGC (Minimum standards and procedure for award of Ph.D. Degrees) Regulations, 2016. A certificate under the seal of the university and signed by the Vice-Chancellor shall be awarded to each successful candidate at the next convocation held for conferring the degrees.
- 15. Publication of thesis:** The University may publish a thesis if the examiners unanimously recommend so. Subject to the recommendation of the adjudicators, the thesis may be published by the candidate provided the university does not accept the responsibility for publication of the same and the candidate makes suitable mention within the publication so made that it was a thesis approved for the award of the Ph.D. degree of the NSOU.
- 16. Revocation of thesis:** If at any time after the degree has been awarded to a thesis, allegation with prima facie evidence is received pointing out plagiarism, and such a case shall be referred for opinion to committee of two experts to be nominated by the RAC concerned. If the allegation is proved, disciplinary actions including revocation of the degree shall be taken after offering the candidate a reasonable opportunity for self-defense.
- 17. Interpretation/Removal of Difficulties:** In case of any doubt or ambiguity relating to interpretation of these regulations and in any case not covered by these regulations (including de-registration), the opinion of the Vice-Chancellor shall be final, subject to the provisions of the Netaji Subhas Open University Act (W.B.ACT (XIX) OF 1997), Statute, Ordinances and Regulations and Rules made there under.

Sd/-
24.06.2019
Vice-Chancellor