REGULATIONS GOVERNING

THE DEGREE OF

DOCTOR OF PHILOSOPHY (Ph.D.)

With effect from the Academic Year 2021 - '22

JSS MAHAVIDYAPEETHA

JSS SCIENCE AND TECHNOLOGY UNIVERSITY

JSS Technical Institutions Campus

Mysuru – 570006, Karnataka State, India

https://jssstuniv.in

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JSS Technical Institutions' Campus
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REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)

PREAMBLE

These Regulations Governing the Degree of Doctor of Philosophy (Ph.D.)-Amended 2022 have been framed to amend the earlier Regulations of 2021 on this subject with a view to fulfill the provisions in the UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016, 2020 and UGC Gazette Notification (Specification of Degrees), 2014.

D.1.0 SHORT TITLE AND COMMENCEMENT

a) The regulations shall be called the "Regulations Governing the Degree of Doctor of Philosophy for all Doctoral Program leading to the Ph.D. degree offered by the JSS Science and Technology University.

b) The regulations hereunder are subject to amendments by the Research and Innovation Council (RIC) of the University, from time to time, after considering the recommendations of the Board of Management. Such amendments will come into force from the date of their notification by the University and apply to such batches of candidates, including those already undergoing the program, as may be determined by the RIC.

D.2.0 DEFINITIONS

In these Regulations, unless the context requires otherwise or it is specifically so defined

(i) **'AICTE'** means the All India Council for Technical Education established at New Delhi by an Act of Parliament in 1987.

(ii) **'UGC'** means the University Grants Commission established at New Delhi by an Act of Parliament in 1956.

(iii) **'University'** means the JSS Science and Technology University, Mysuru, Karnataka.

(iv) **'GoI'** means the Government of India.

(v) **'GoK'** means the Government of Karnataka.

(vi) **'AIU'** means the Association of Indian Universities, with its headquarters at New Delhi.

(vii) **'Ph.D.'** means Doctor of Philosophy

(viii) **'Program'** means the academic Program leading to the award of the Degree of Ph.D. in Engineering and Technology / Basic Science /Management Studies area among the specializations.

(ix) **'Department'** means an academic unit, under the relevant Faculty, offering the Ph.D.

degree program.

(x) '**Research Supervisor**' means a qualified faculty member or a scientist recognized by the University to supervise/guide the candidates for Ph.D.

(xi) '**Co-supervisor**' means the additional Research Supervisor who supervises/ guides the doctoral research of a candidate along with the Research Supervisor.

(xii) '**BOS**' means The Board of Studies responsible for all academic matters.

(xiii) '**UG/PG/Ph.D.**' means Degree at Undergraduate/ Postgraduate/ Doctor of Philosophy level.

(xiv) '**JSSSTU-DPET**' means JSSSTU Doctoral Program Entrance Test for Research conducted by the University for admitting students to Ph.D. program.

(xv) '**JSSSTU-RC**' means Research Center recognized/identified by the University.

(xvi) '**Research Centre**' means a College/Institute/Department/Research Laboratory and the like recognized by the University for the candidates to pursue Ph.D./by Research in an approved discipline.

(xvii) '**Faculty or Faculties**' means a Faculty of the University or the Faculties, collectively, of the University;

(xviii) '**DRIC**' means Doctoral Research Interview Committee constituted by the University to carry out the activities concerning the admission of students to the Ph.D. program.

(xix) '**DEC**' Distance Education Council means distance education universities recognised by the Distance Education council under UGC.

(xx) '**DAC**' **means** Doctoral Advisory Committee constituted by the University to review the research progress of a candidate for Ph.D.

(xxi) '**Course Work**' means the courses prescribed as a part of the Ph.D. program, which the candidate shall successfully complete as a pre-requisite.

(xxii) '**Full-Time Scholar**' means Research Scholars who are spending their Full-Time on campus for a research program.

(xxiii) '**Part-Time Scholar**' means Research Scholars who are employed and are spending a part of their time on campus for a research program.

(xxiv) '**FIP**' means the Faculty Improvement Program of UGC.

(xxv) '**QIP**' means Quality Improvement Program of the GoI.

(xxvi) '**Intake**' means the number of students sanctioned for admission to Faculty of the University in a year.

(xxvii) '**Refereed Journal**' means a reputed professional journal or literary journal or a publication in which the research articles or papers are selected for publication by a panel of expert referees in the field.

(xxviii) '**Viva-Voce Board**' means a committee of experts appointed by the University to conduct the final viva-voce on the Thesis submitted by the candidate.

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D.3.0 SUBJECT/TITLE OF RESEARCH AND NATURE OF RESEARCH PROGRAM

The University shall permit the registration for Ph.D. in the following Faculties viz.,

a) Faculty of Engineering and Technology
b) Faculty of Science
c) Faculty of Management Studies
d) Other Faculties - as may be decided by the authorities from time to time.

D.4.0 CATEGORIES OF Ph.D. CANDIDATES

Candidates admitted into the Ph.D. Program shall be classified into following categories

D.4.1 Full Time Candidates

Candidates who shall pursue full time research in this University on a day scholar mode.

D.4.2 Project Category

Any candidate who is working in any externally funded research project in the concerned or cognate subject in whatever capacity and fulfils other eligibility criteria for admission to Ph.D., is also eligible for the Ph.D. program, provided the agency supporting the funded Project has no objection to submit the whole work or part there of performed for Ph. D degree, meeting all other requirements under these Regulations. For all other purposes under these Regulations, they are governed as under Full-time candidates. Candidate working as JRF/Teaching Assistant shall also be consider as full time students.

D.4.3 Part Time Candidates

Candidates working in JSSSTU/ Industries/ Colleges /Government Departments/ Research organizations/ Universities or other Higher Educational Institutions or sponsored for pursuing Ph.D. Program in this University while continuing to serve in their respective Institutions/organizations shall belong to this category.

D.4.4 Distance mode

Candidates with MBA and MCA Degrees obtained through distance mode from UGC/DEC approved institutions may be allowed to register for Ph.D. as per UGC/AICTE norms on the condition of two years teaching/research experience after completion of their PG Degree.

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D.5.0 RESEARCH OUTSIDE THE UNIVERSITY

a. During the course of the Ph.D. Program, on approval by Doctoral Advisory Committee (DAC) and recommendation of the Dean (Research), a full-time scholar only may be permitted by the University to spend up to one year in any Institution of National repute or on a project approved for the purpose, outside the University for carrying out research in the areas related to the subject of investigation.

b. Candidates registered under any other University/Higher Educational Institution for Ph.D. program seeking transfer to JSSSTU, shall make an application for a transfer to JSSSTU for continuing research. On receipt of the said application, the Vice-Chancellor shall constitute an Expert Committee, to examine the merits of the application and gives its recommendations. The decision of the Vice-Chancellor in the matter is final.

D.6.0 NOC/EMPLOYMENT/CLEARANCES

a. Employed candidates, who take up Ph.D. Program on full time or part time basis, shall produce No Objection Certificate (NOC) from their present employer/ organization(s).

b. Non-employed candidates who take up Ph.D. program on full time basis can apply for scholarship / fellowship / stipend/ assistantship, if any, with intimation to the University. In case, the candidate takes up the employment in between the research period, the student can apply for special permission with the recommendation of the Dean (Research) for conversion from Full-Time to Part-Time.

D.7.0 ELIGIBILITY FOR ADMISSION TO Ph.D. PROGRAM

The minimum academic qualifications required for seeking admission to the Ph.D. Program, shall be as given below in respect of the different Faculties:

D.7.1 Faculty of Engineering and Technology

a) Candidates for admission to the Ph.D. Program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7- point scale (or an equivalent grade in a point scale wherever grading system is followed).

b) A candidate who is studying the final semester of PG program is also eligible to apply for Ph.D. program of this University

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D.7.2 Faculty of Science

The Candidates shall possess M.Sc. / M.Phil. Degree in Physics / Chemistry / Mathematics / MCA, and such other allied disciplines, recognized by the University with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7- point scale.

D.7.3 Faculty of Management Studies

The Candidates shall possess MBA / Equivalent Degree from a recognized University with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7- point scale.

D.8.0 RELAXATION OF MINIMUM REQUIREMENTS

a) 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 Commission from time to time, or for those who had obtained their Master's Degree prior to 19th September 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

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

D.9.0 ADMISSIONS

a) The University shall issue the notification for the Ph.D. admissions normally once in an academic year.

b) The number of available seats in the various specializations under different disciplines will be determined in accordance with the norms, well in advance and will be notified in the University website/ advertisement.

D.9.1 Procedure for Admissions

a) In response to the notification, the candidate seeking admission shall apply in the prescribed application form to JSSSTU through proper channel wherever applicable. The application form and the necessary details will be available in the University website. The filled-in application shall be accompanied with the relevant certificates and prescribed fee.

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b) Selection for admission to the Ph.D. program will be through a written test (JSSSTU Doctoral Program Entrance Test) followed by an interview.

D.9.2 Doctoral Program Entrance Test (DPET)

a) The applications so received will be sent to the Doctoral Research Interview Committee (DRIC). The DRIC will consist of recognized Research Supervisor(s) in the Department / University under the Chairmanship of Head of the Department (HOD). The DRIC shall screen the applications for their eligibility and send them to the office of the Dean (Research), along with recommendations.

b) The Controller of Examination (COE) of the University shall conduct a DPET entrance test for the eligible candidates, whose names are recommended by the DRIC and consolidated by Dean (Research).

c) The syllabus for the DPET shall consist of two portions, viz., Research Methodology (50 %) and subject specific (50 %).

d) Only those candidates having percentile score in the entrance test with 50% or more in the case of general category and 45 % or more in the case of reserved category shall be eligible to be called for the interview.

D.9.3 Exemption from DPET Entrance Test

The following categories of candidates may be exempted from appearing DPET with the approval of DRIC as per the norms of UGC/AICT/Statutory body from time-to-time.

i. Candidates qualified in the UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or other similar national tests and having qualifying percentile scores in their respective validity periods.

ii. Candidates with M.Phil. Degree or equivalent as recognized by the University.

However, candidate should attend for an **interview before the DRIC** for final selection for admission to Ph.D.

D.9.4 Doctoral Program Interview

a) Eligible candidates in entrance test shall undergo an interview before the DRIC comprising of eligible guides in the respective discipline, to discuss about research interest/area through a presentation. The interview shall consider the competence, suitability, research interest and contribution to knowledge, by the candidate

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undertaking the research program.

b) The DRIC will select the candidates based on their performance in the DPET and interview. The DRIC will also recommend the Research Supervisor for each candidate taking into account of available specialization among available Research Supervisors and research interests of the scholars.

c) Merit list of candidates shall be prepared by the DRIC based on their performance in the interview.

d) The respective DRIC shall forward the list of selected candidates along with a copy of the applications of all the candidates to the office of Dean (Research), for onward process towards enrollment.

e) The Provisional selected candidates shall be notified on the website along with instruction to the candidate and schedule of the Ph.D. program by the Dean (Research).

f) The decision of the University will be final in the selection of candidates for all Ph.D. programs.

g) The selected candidates shall be provisionally admitted to the Ph.D. Program (as applicable) after the candidate pays the prescribed registration and tuition fees as well as fulfills all the admission requirement as indicated in the letter of admission.

h) Candidates, who qualify for the Ph.D. Degree, shall be awarded the Degree in the respective discipline as that of their Master's Degree / M.Phil. Degree.

i) If at any time after the admission, it is found that a candidate has not fulfilled all the requirements as stipulated, the University may revoke the admission of the candidate with the approval of the Vice-Chancellor.

D.10.0 PROVISIONAL REGISTRATION

a) The candidate till completion of Pre- Ph.D. Registration Colloquium, he/she will be under provisional registration. After completion of Pre-Ph.D. Colloquium, the candidate will be eligible for registration.

b) Part-time scholars shall have to attach a No Objection Certificate from their employer and also states that the organization commits to providing necessary infrastructure and facilities in their organization for satisfactorily carrying out one's research work if the research Centre is recognized by the JSSSTU.

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c) Employed candidates, who take up Ph.D. program on a full-time basis, shall have to produce NOC from their employer/organization(s) with a sanctioned study leave for a minimum period of three years.

d) Non-employed Candidates who take up Ph.D. program on full-time basis shall not be allowed to take up any employment during such period of Ph.D. work. However, they can apply for a scholarship/fellowship/ stipend/assistantship, if any, with intimation to the University. In case, a full-time candidate accepts employment in between the study period, his/her registration will automatically be treated as part-time.

e) All the selected candidates are required to sign an undertaking with regard to the IPR policy, moral code of conduct of the University and any other issues relevant to academic research program at the time of initial registration to the Ph.D. program.

f) Selected candidates (both full-time and part-time) are required to fill the Ph.D. Registration Form available in the University website and submit it along with the requisite fees.

g) The duly filled application received from the candidate will be placed before the University for Provisional Registration.

h) The provisional registered candidates shall be notified along with instructions by the Dean (Research) with a copy to Research Supervisor, Co-Research Supervisor (if any), HOD, Deans, Registrar, Vice-Chancellor and the sponsoring Institution if any.

i) The Fees once paid will not be refunded under any circumstances.

D.11.0 DURATION OF THE PROGRAM

a) The duration of the Ph.D. program and the time for submission of thesis are counted from the date of enrollment to the Ph.D. program.

b) In case of full time scholars, the Ph.D. program shall be for a minimum duration of 3 years (36 months), including course work and a maximum of six years (72 months). It shall be four years (48 months) and seven years (84 months) for part time scholars.

D.12.0 STRUCTURE OF FEE PAYABLE

All Research scholars registered for Ph.D. program, are required to remit/pay fee(s), as applicable to the University, for the following purposes:

1) Registration fee

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2) Annual Tuition fee
3) Examination fee
4) Fee for obtaining extension of time for duration, course work examination and thesis submission.
5) Voluntary – change of Research Supervisor and change of research topic
6) Thesis Submission Fee
7) Viva Voce Defense Fee
8) Re-appearance for Oral / Viva examination
9) Convocation fee
10) Any other fees prescribed by the University.

D.13.0 THE Ph.D. PROGRAM

On receipt of the provisional registration of the candidates, the Ph.D. program of the candidate shall consist of three parts to be cleared in sequence, viz.,

Part-I Coursework

Part-II Pre-Ph.D. Registration Comprehensive Viva-Voce

Part-III Pre-Ph.D. Thesis Submission Colloquium, Synopsis and Thesis Submission. These shall be followed by Thesis evaluation and its defense by the candidate at the end.

All the Ph.D. registrations shall be provisional initially and shall be confirmed only on the successful completion of both Part-I and Part-II.

D.14.0 DOCTORAL ADVISORY COMMITTEE (DAC)

a) Upon receiving the research proposal after the provisional registration of the candidate, the Research Supervisor and Co-supervisor (if any) in consultation with Head of the Department shall propose a Doctoral Advisory Committee to be constituted by Vice-Chancellor for each candidate with the following composition to review, assess and monitor the progress of work of the Research scholar from time to time.

(i)	The Research Supervisor	: Chairperson and Convener
(ii)	One External member selected by the University from a panel of three experts recommended by the Research Supervisor from institutes of higher learning/ Industries/R & D Centre etc.	: Member
(iii)	One senior faculty member from within the Department/University.	: Member

The Co- Research Supervisor if any shall be invited as and when required for the Doctoral Advisory Committee.

b) The responsibilities of the Doctoral Advisory Committee, constituted for each Ph.D. scholar, shall be as follows

- To review the research proposal and finalize the topic of research;
- To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to undertake.
- To periodically review and assist in the progress of the research work of the Research Scholar until submission of Thesis.
- To verify and certify the publication(s) done by the scholar to fulfill the prescribed requirements as stipulated by the University.

D.15.0 RESEARCH SUPERVISORS

a) All Ph.D. candidates are required to work under the supervision of a recognized Research Supervisor from the University. External Research Supervisors are not allowed.

b) In the case of interdisciplinary subject area(s), a candidate may have two supervisors, of which one shall be designated as the Research Supervisor and the other as the Co-Supervisor, with either of them from the same University or other University recognized research centers, with the approval of the DRIC.

c) When a Research Supervisor of a scholar happens to be away from the University, for more than 6 months, the Supervisor may continue to supervise the scholar. However, a Research Supervisor belonging to the same faculty of JSSSTU shall be officially nominated as a Co-Research Supervisor by the DRIC and forwarded to Dean - Research for approval, which shall be notified by the University.

d) If the Research Supervisor leaves the University, he/she may be permitted to continue as a Co-Research Supervisor for his/her scholar(s), subject to approval by the University. Alternatively, a new Research Supervisor recommended by the DRIC of the Department will be appointed and notified by the University.

e) A Research Supervisor shall not opt to become Co-Supervisor for more than five candidates at any time.

f) No Research Supervisor/Co-Supervisor shall supervise the candidate having blood relative or spouse.

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D.16.0 RECOGNITION OF RESEARCH SUPERVISORS

a) Recognition of Research Supervisor(s) for supervising research work will be approved by the University, based on the recommendation of the committee appointed by the Vice-Chancellor.

b) The prospective Research Supervisors/Co- Research Supervisor shall apply in the prescribed format, which is available in the University website, with all the necessary supporting documents.

c) Upon approval by the University, each Research Supervisor/Co-Research Supervisor shall receive a notification from the University and shall become eligible to supervise/guide the Ph.D. candidates.

d) A Research Supervisor shall not be assigned any new candidates for Ph.D. if he/she has less **than one year of service left** before the prescribed age of retirement from the University. However, they can continue to supervise the research work of the scholar(s) who have registered under them, up to 62 years as Co-Supervisor, based on the willingness of the guide and acceptance of the same by the University. Re-appointed faculty members from the University after superannuation may continue to be as a Research Supervisor until the age of 70 years while in service.

D.17.0 ELIGIBILITY OF RESEARCH SUPERVISOR

a) A Ph.D. degree from a recognized University in the relevant or allied area in which he/she proposes to supervise the candidate.

b) Regular Professor with at least 05 (Five) research publications, and Associate Professor or Assistant Professor with at least 02 (Two) research publications, in indexed refereed journals.

c) Independent research experience of at least one academic year, after obtaining the provisional Ph.D. degree award.

D.18.0 RECOGNITION OF RESEARCH CO-SUPERVISOR

a) Thesis topics which are of inter-disciplinary nature where competent guide is not available in the respective Department, the co-research supervisor can be from the allied/outside the Department / constituent Colleges and Institutions/ industry who have an MoU with JSSSTU/institutes of National importance such as IIT's, IISc, NIT's, National Laborites and National Research Organizations.

b) The applicant for registration as a co-research supervisor shall apply to JSS STU by

duly filling the Form available in the JSSSTU website and submitting all the required enclosures through proper channel.

D.19.0 NUMBER OF CANDIDATES PER RESEARCH SUPERVISOR

a) The maximum number of scholar(s) a Research Supervisor can supervise at any given point of time shall be as follows (including Co-supervisor) and which also shall fulfill all relevant criteria for reservation as applicable from the State and Central Government from time to time.

   (i) Eight candidates if he/she is Professor;
   (ii) Six candidates if he/she is Associate Professor; and
   (iii) Four candidates if he/she is Assistant Professor.

b) The seats reserved for SC/ST/Category-1/ Differently abled candidates shall be mutually interchangeable as per UGC norms, but not transferrable to the General Pool.

c) The candidates registered for Ph.D. under a Research Supervisor/Co-Supervisor who have completed the final Viva-Voce shall not be considered while counting the number of candidates assigned to a Research Supervisor/ Co-Supervisor.

d) A Research Supervisor shall not be assigned more than 2 students during an academic year.

e) Under special circumstances, subject to approval by the Vice-Chancellor, the Dean (Research) shall allocate up to a maximum of 3 candidates per Research Supervisor.

D.20.0 COURSE WORK

a) Course work is a prerequisite for Ph.D. preparation and each candidate provisionally registered for the Ph.D. program shall have to undergo a minimum of 12 credits. Research Methodology, which is a 4 credit, is compulsory for all disciplines of Ph.D. program.

b) Candidates undergoing Coursework shall submit their applications in the prescribed format together with the relevant fees to the University for course-work Examination as and when notified by the University.

c) The course work examination shall consist of

   (i) Paper- I Research Methodology (100 marks, 4 credits).
   The course shall include Fundamental concepts of research, research ethics and good laboratory practice / methodology, advanced statistical methods for

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quantitative and qualitative research, Computational techniques and applications.

(i) **Paper-II Domain Specific Course (100 marks, 4 credits)**
List of advanced level courses in the relevant areas in each discipline as approved by the BOS concerned and approved in the Academic Council shall be notified by the University. Courses from these lists shall be prescribed by the Research Supervisor/Co-supervisor (if any) in consultation with DAC.

(ii) **Paper –III Viva-Voce examination (100 marks, 4 credits)**
Shall include Quality of comprehensive literature Review on the topic finalized for Ph.D. work, novelty in the topic finalized for the Ph.D. work, relevance to the specialization, critical analysis of literature and topic of research, relevance to the knowledge of learning or to a process, quality of written and oral presentation. The DAC shall review the Viva-Voce and accord results within 30 days after the Course Work Examination.

d) The University shall have the freedom to revise and notify the approved courses in the list(s) as well the contents from time to time. The curriculum of the same will be announced in the website.

D.20.1. Setting up of Question Papers

a) Question papers shall be set by the approved examiners appointed for this purpose by the University from the panel recommended by the DRIC. The panel shall be revised from time to time.

b) Each question paper shall be set for maximum marks of 100 and it shall have format as prescribed by the Controller of Examination.

c) The question paper setters and answer paper valuators shall have Ph.D. Degree in the relevant field.

D.20.2. Examination and Evaluation of Answer Scripts

a) There shall be an examination for the Paper –I and II at the end of the course work. Examination for each course shall of 3 hours duration and carries 100 Marks. The Viva-Voce exam shall be conducted within one month after written examination.

b) Passing marks for the Course Work Examination will be 55% in each course.

c) Scholar(s) securing a minimum of 55 % of the marks or its equivalent grade in

UGC- 7-point scale, prescribed in each course shall be declared to have successfully completed the Ph.D. Course work examination to be eligible to continue in the program and submit his/her thesis.

d) All the candidate admitted to the Ph.D. program shall be required to complete the course work within initial one or two semesters (12 months from the date of enrollment). Those who shall not complete the course work within stipulated time shall be forfeiting their Ph.D. program. Such candidates shall seek provisional registration for Ph.D. afresh, if required.

e) In case of valid medical emergencies, the candidate shall be permitted for third attempt with due permission from the university after paying necessary fee.

D.21.0 PRE-Ph.D. REGISTRATION COMPREHENSIVE VIVA-VOCE

a) A research scholar registered for Ph.D. Program shall take a Pre-Ph.D. *Viva-Voce* after the completion of (i) Course Work Examination and (ii) two semesters of the candidate research program, but before the completion of six semesters.

b) The Pre-Registration comprehensive *viva-voce* conducted during a DAC meeting, which shall consist of the members of the DAC along with one more external examiner chosen from the panel of three Experts recommended by the Research Supervisor and approved by the Vice-Chancellor. It shall be a closed-door oral examination.

c) If the performance of the research scholar in the Pre-Registration Comprehensive Viva Voce is satisfactory, his/her provisional registration shall be confirmed. If the performance is not satisfactory, the candidate shall be given an extension of time and one more opportunity to appear for the *Viva Voce* within six months of the first examination.

d) In case, the research scholar fails to successfully complete the comprehensive Viva-Voce within three years from the date of provisional registration, the admission of the candidate shall stand automatically canceled.

D.22.0 MONITORING THE PROGRESS OF SCHOLARS

a) A research scholar shall appear before the Doctoral Advisory Committee once in six months to make a presentation of the progress of the candidate's work for evaluation and further guidance.

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b) A part-time research candidate shall put in a minimum of fifteen days of residence every semester in the University for research related works as well as for attending some of the specialized workshops, training programs and other curricular activities until the submission of the final synopsis.

c) Each candidate shall submit a research progress report in the standard format to the Doctoral Advisory Committee, two weeks prior to the schedule of the meeting. The progress report shall cover information such as new progress in research, techniques developed, new findings / discussion of the work done during the review period, research papers prepared/published, if any and work plan for the future.

d) The candidate shall make oral presentation of the research progress before the Doctoral Advisory Committee.

e) Doctoral Advisory Committee shall communicate the satisfactory research progress or otherwise of the candidate to the Dean Research along with the six monthly progress report. The same shall be forwarded to Controller of Examination. A copy of the decision shall also to be communicated to the Research Scholar.

f) If any of the appointees is unable to attend the deliberations of the Doctoral Advisory Committee for more than three consecutive meetings over a continuous period of time, an alternate domain expert(s) on the Committee in consultation with the Dean (Research) and Head of the Department shall be nominated.

D.23. CANCELLATION OF REGISTRATION

a) In three successive reviews, if the DAC decides that the progress of the scholar is not satisfactory, it shall record the reasons for the same and suggest corrective measures. If the scholar fails to implement these corrective measures, the DAC may recommend to the Dean (Research) with specific reasons for cancellation of the registration of the research scholar.

b) Before recommending cancellation of registration to the Dean (Research), the Doctoral Advisory Committee shall issue a show-cause notice to the candidate, seeking his/her explanation. If the explanation is not agreed by the Doctoral Advisory Committee, the provisional registration of the candidate shall stand cancelled automatically.

c) On cancellation of provisional registration, the scholar is entitled to file an appeal, with valid reasons, to the Vice-Chancellor for revocation of cancellation. The decision of the Vice-Chancellor shall be final.

d) A scholar, who desires to cancel his/her registration voluntarily for whatever reasons thereof, shall submit an application through the proper channel to the Dean

(Research) and University, whose decision in the matter shall be deemed as final.

D.24.0 CONFIRMATION OF Ph.D. REGISTRATION

a) After the successful completion of course work examination and pre-Ph.D. Registration *Viva-Voce*, the University shall issue a notification to the candidate on Confirmation of Registration.

b) The COE shall issue the Registration certificate to successful candidates after completion of coursework examination and Pre-Ph.D. registration *Viva-Voce*.

c) The Ph.D. Registration is valid for 6 years for full-time and 7 years for part-time scholars from the date of enrollment inclusive of the course work period.

D.25.0 CHANGE OF RESEARCH SUPERVISOR / CO-SUPERVISOR

a) A scholar shall submit a request application, if he/she desires to change the Research Supervisor / Co-Research Supervisor, to the University along with No Objection Certificate obtained from the existing Research Supervisor /Co-Research Supervisor giving valid reasons for seeking such a change. The recommendations of the DAC shall be communicated to the Dean (Research) for seeking an approval from the University. In case of differences of opinion between Research Supervisor and Candidate, an expert committee shall be constituted with the approval of Vice-Chancellor. The decision of the Vice-Chancellor shall be final.

b) A Research Supervisor/Co-Research Supervisor who desires to withdraw from supervising a scholar, shall communicate to the University with substantial and valid reasons. On recommendations of the DAC, the University shall take the appropriate decision.

c) Under extraordinary circumstances such as transfer, resignation, superannuation, legal actions or disability on health grounds of the Research Supervisor, at the request of the scholar and subject to receiving a No Objection Certificate (NOC) from the present Research Supervisor and on the recommendation of the DAC, the University shall consider the same for further approval process and communicate the decision to the candidate.

d) Appropriate and similar procedures shall be followed in case of the unfortunate demise of a Research Supervisor or Co-Research Supervisor (if any).

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D.26.0 CHANGE OF RESEARCH TOPIC/TITLE

a) A candidate desiring to change the title of the thesis shall apply to the COE with five copies of revised Synopsis and changed title recommended by the Research Supervisor/Co-supervisor, DAC and Dean (Research), after paying the prescribed fee.

b) After receiving the recommendation and prescribed fee from the candidate, COE will send the revised title to all concerned for necessary action.

D.27.0. OPEN SEMINARS

An open Seminar shall be conducted by the DAC before the Pre-Thesis Submission Colloquium. The Scholars and the faculty members of the Department will also be present during this Open Seminar. The proceedings of the Open Seminar shall be submitted in the prescribed formats to the office of Dean-Research. The suggestions for improvements/modifications by the audience during the Open Seminar shall be conveyed to the scholar by the office of Dean-Research through the Research Supervisor and Research Co-Research Supervisor (if any).

D.28.0. PRE-Ph.D. THESIS SUBMISSION COLLOQUIUM

a) The candidate shall also present a Pre-Ph.D. Thesis Submission Colloquium before the DAC, demonstrating his/her preparedness to submit the synopsis to the University. The guide is permitted to invite one special subject external expert, if required. The list of publications/ Conference(s) attended arising out of the research work, are to be submitted along with the synopsis report. DAC panel will assess the work during the colloquium.

b) However, if the performance of the candidate in the Pre-Ph.D. Thesis Submission Colloquium is not satisfactory, the DAC may point out the insufficiencies, if any and ask the candidate to repeat the Colloquium once more within three months. And, only on satisfactory performance at this stage, the Doctoral Advisory Committee shall be free to permit the candidate to submit the Ph.D. thesis.

D.29.0 ANTI-PLAGIARISM CHECK AND SUBMISSION OF THE THESIS

The candidate's thesis shall undergo plagiarism check through a software approved by JSSSTU.

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D.30.0 MANDATORY PUBLICATIONS REQUIREMENT

a) Each candidate shall publish a minimum of 2 (two) research papers in peer reviewed Journals based on his/her research work, before submission of the Synopsis for adjudication, and produce evidence for the same in the form of reprint or acceptance letter from the Publisher(s) of the Journal, or 01 (One) research paper in a reputed indexed peer-reviewed refereed journal (Scopus/Web of Science) and also make 02 (Two) paper presentations in reputed conferences.

b) The evidence in the form of presentation certificates and/or reprints shall be enclosed with the application and certified by the DAC.

c) After fulfilment of all the pre-requisites mentioned in the regulations and approval of the Doctoral Advisory Committee (DAC), the Research Supervisor shall forward one hard copy of the synopsis of the proposed thesis, in the prescribed format signed by the scholar and Research Supervisor/Co-Supervisor (if any), along with a soft copy of the same (read only format) to Dean-Research.

D.31.0 VALIDITY PERIOD OF REGISTRATION

The candidate shall have to pay the prescribed annual tuition and other fees to the University at the notified time intervals in order to ensure the validity period of registration.

D.31.1. Maximum Period for Submission of Thesis

a) Full time candidate for the Ph.D. Degree shall be normally eligible for submission of the thesis after a minimum period of three years from the date of provisional registration, while for the part time student it shall be a minimum of four years, subject to fulfillment of all the prescribed norms and requirements.

b) The maximum period for submission of the Ph.D. Thesis by candidate shall be six years from the date of provisional registration for full time students, while it is seven years for the part time students. However, Vice-Chancellor shall have the powers to extend the maximum period for submission of the Ph.D. thesis by one year for such of candidates on specific recommendations of the Doctoral Advisory Committee based on the request for extension from the candidate not less than three months prior to the completion of the stipulated period. In an extraordinary situation, VC may consider to extend one more year based on discretion.

c) In the case of failure of the candidate to submit the thesis even after the extended period, the registration shall be cancelled.

d) A special consideration shall be given for women and persons with bench mark

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disability (>40% disability) to extend the maximum period for submission of the Ph.D. thesis by two more years if the candidate request for extension for submission of the Ph.D. thesis.

e) In addition, women candidates shall avail of Maternity Leave/Child Care Leave of up to 240 days once during their Ph.D. program, excluding the stipulated study period.

D.32.0 SUBMISSION OF SYNOPSIS AND THESIS

D.32.1 Submission of Synopsis

a) Not less than three months before the submission of the thesis, every candidate shall submit to the University, through the research supervisor and HOD, six copies of the synopsis of the thesis, together with the title of the thesis and prescribed examination fee. The candidate shall prepare the synopsis carefully in consultation with the supervisor.

b) The synopsis should bring out in abridged form, the aims for conducting research, work done, results and findings. The candidate shall make a presentation of the synopsis before the Doctoral Advisory Committee in the Department before submission of the synopsis.

c) The Doctoral Advisory Committee shall recommend the candidate to take steps to submit the Synopsis a prior followed by the Thesis in the prescribed format.

d) The Research Supervisor shall forward hard copies (two numbers) and soft copy (PDF) of synopsis of the proposed thesis, signed by the scholar, Research Supervisor and the HOD, to the Dean-Research along with following certificates.

e) application for adjudication of the thesis

f) a list of ten examiners for adjudication of the thesis with details of contact address in a sealed envelope shall be submitted to COE through Dean (Research). A few number of foreign examiners may also be included in the panel, which shall be the discretion of Research Supervisor. The Supervisor shall take utmost care in preparing the panel and after checking their present status, their broader and specific area/field of specialization and recent three publications of each panel members.

g) Certificate from the Research Supervisor(s) stating the candidate's fulfillment of various requirements of Part II.

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h) Certificate stating that the thesis does not contain any work previously submitted for any award of the degree anywhere and thesis is based on the individual, original work of the candidate, no violations of the copyright and there is no prima facie case for thesis submission at this stage.

i) After the submission of the synopsis, Dean (Research) with the concurrence of the Vice-Chancellor will forward the synopsis in a sealed cover to the Controller of Examinations and the Controller of Examinations shall contact the examiners for further processing.

j) The Controller of Examination shall submit the panel of examiners to the Vice-Chancellor and VC shall select the examiners to whom the thesis shall be sent.

D.32.2 SUBMISSION OF THE THESIS

a) The candidate shall, within three months of submission of the synopsis, prepare the thesis in accordance with the format/specifications prescribed by the University and in an organized and scholarly fashion, highlighting the original contribution made in the research work.

b) After obtaining permission from the University to submit the thesis, the scholar shall submit three hard bound copies of the thesis in the prescribed format signed by the scholar and Research Supervisor along with PDF format soft copy of the same.

c) In case the candidate is unable to submit the thesis within three months from the date of submission of the Synopsis, he/she shall seek extension of time from the University through the Research Supervisor(s) to the Dean (Research).

d) The plagiarism in any form shall not exceed 25% of the contents of an earlier known thesis / work.

e) The candidate shall also pay the prescribed thesis fees to the University and produce the 'No Dues Certificate' from all concerned authorities of the University while submitting the thesis.

D.33.0 THE ACT OF PLAGIARISM / ACADEMIC DISHONESTY

a) In case of receipt of any complaint from any adjudicator, individual or source, of suspected act of plagiarism/academic dishonesty, the Vice-Chancellor shall have the powers to constitute an expert committee to investigate into issues connected/related

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with Ph.D. thesis.

b) In the event of proven case of thesis being copied, plagiarized or misrepresented academically, and degree obtained by fraudulent means, the Board of Governors may, on the recommendation of the expert committee/Academic Council/Board of Management can (i) withdraw/annul the Ph.D. Degree granted to any person (ii) terminate research registration and (iii) debar the candidate from registering further for any other program in this University depending on the nature of fraudulence.

c) However, such action shall be taken against any person unless the candidate has been given an opportunity to show-cause against the action proposed to be taken, consider the explanation and take further action in the matter.

D.34.0 THESIS ADJUDICATION

D.34.1 Selection of Adjudicators

The Vice-Chancellor shall choose two external adjudicators from the suggested panel for adjudication of the thesis. The examiners may be chosen from Universities other than Karnataka State except for national importance institutes such as, IIT's, IISc, NIT, IIITB and IIM's or National Laboratories and National Research Organizations/Central Universities in Karnataka as well as from different Universities and Research Institutions/ Laboratories from abroad.

D.34.2 Evaluation of Thesis

a) The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and two external examiners.

b) The adjudicating examiner shall include in his/her report an overall assessment placing the Ph.D. thesis in the prescribed format of assessment including

(i) A critical analysis of the work of the scholar as exemplified in the thesis and an evaluation of the work and its standard / status in terms of its contribution to the advancement of knowledge.

(ii) Details of any question/s to be asked to the scholar or points to be clarified by the candidate at the open viva-voce examination.

(iii) A definite recommendation as to whether the Ph.D. Degree should be awarded or not.

c) The Examiners who evaluate the thesis shall report on the merit of the candidate for the Ph.D. degree as follows:

i. The thesis to be accepted for the award of Ph.D. degree in the present form.
ii. The thesis to be accepted for the award of Ph.D. degree after minor corrections/revisions.
iii. The thesis can be passed after obtaining clarifications at the time of viva-voce.
iv. The thesis be revised and resubmitted for evaluation.
v. The thesis is rejected for the valid reasons specified in the report and not recommended for award of Ph.D. degree.

d) On receipt of the reports from the examiners, the following procedure shall be adopted for the award of Ph.D. Degree

1. If both the examiners recommend the award of the Ph.D. Degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the oral examination.

2. If any examiner recommends revision and re-submission of the Ph.D. and desires to evaluate it again, the scholar shall be permitted to revise and resubmit the thesis within 6 months, which shall be referred to the same examiner, for offering his/her final recommendation on it. In such a case, the examiner should offer his/her specific comments.

3. In case the candidate fails to submit the revised form of the thesis within 6 months, the process of thesis evaluation gets cancelled. Then, the candidate shall submit the revised synopsis again to start the process of thesis evaluation by paying the prescribed fee.

4. If one external examiner recommends the award of the Ph.D. Degree while the other external examiner recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice-Chancellor. The majority assessment of the three shall decide the status of the thesis.

5. If both the external examiners recommend rejection with specific valid comments, the Ph.D. thesis shall be rejected and the scholar declared in-eligible for award of degree and the registration of the candidate cancelled.

D.35.0 VIVA VOCE

a) On receiving favorable recommendations from all the adjudicators, including the Research Supervisor(s), the COE shall convey the same to the Research Supervisor(s)

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along with copies of the Reports received and request to conduct the final *Viva-Voce* of the candidate for the award of Ph.D. Degree

b) The *viva-voce* examination, based on the critiques (if any) given in the evaluation report, shall be conducted by the *Viva-Voce* Board comprising of Research Supervisor(s) and at least one of the two external examiners as well as an independent observer nominated by the Vice-Chancellor. The *Viva-Voce* shall be open and to be attended by Members of the DAC, all faculty members of the University, other research scholars and other interested experts/researchers. Each examiner may seek clarification/questions, if any, to be answered at the time of *viva-voce*. The candidate shall provide clarification(s) to all the queries of the adjudicators satisfactorily at the time of *Viva-Voce*.

c) If the performance of the scholar in the *viva-voce* examination is reported as NOT SATISFACTORY, the scholar may be given an opportunity but not later than six months from the date of the Oral Examination.

d) However, for the second examination, the Oral examination board shall include one more examiner nominated by the Vice-Chancellor.

e) If the performance of the candidate in the oral examination on the second occasion also is reported to be NOT SATISFACTORY, the Vice-Chancellor, if he/she deems it necessary, shall refer the remarks of the Oral examination board, along with the thesis and comments of the examiners, to a committee constituted by the Vice-Chancellor for this purpose and decide. The decision of the Vice-Chancellor on the recommendations of the committee shall be final.

f) In the case of scholars who are abroad and unable to be present physically, viva- voce examination may be held through video-conference mode as described above (D.35.0 b) with the prior approval of the Vice-Chancellor. The scholar shall bear the additional cost, if any, prescribed by the University.

g) After successful completion of the *Viva-Voce*, the Research Supervisor shall prepare and forward the Consolidated Report along with duly corrected versions of both the hard and the soft copies of the thesis as well as giving specific recommendations for the award of the Ph.D. to COE for declaration of result with the approval of Vice-Chancellor.

D.36.0 AWARD OF DEGREE

a) Upon declaration of result, the University shall issue a Provisional Ph.D. degree certificate to the candidate certifying that the degree has been awarded.

b) The University shall award the Ph.D. degree certificate to the candidate during the forthcoming Convocation based on the recommendation by the Academic

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Council/Board of Management/Board of Governors of JSSSTU.

c) However, for those candidates who have qualified for the Ph.D. Degree disciplines which are interdisciplinary in nature, the Institute may issue the Degree on the recommendations of the Doctoral Advisory Committee in the respective discipline in which they have registered and completed their Ph.D. program.

d) The University shall hold the Copy Right of all the Thesis after conferring the Ph.D. degree.

D.37.0 DEPOSITORY WITH UGC AND THE UNIVERSITY

a) One soft copy of the thesis shall be submitted to UGC within thirty days for hosting the same on its Information and Library Network (abbreviated as INFLIBNET) accessible to all the Institutions/Universities.

b) One copy of the thesis (both soft and hard copy) shall be placed in the University Library reference section, one copy in Dean's (Research) Office.

D.38.0 PUBLICATION OF THESIS

The thesis is a public domain document and the research exemplified in the thesis may be published in part in reputed journals/book.

D.39.0 RESOLUTION OF CONFLICT/GRIEVANCES

If any differences of opinion develop between the student and the Research Supervisor at any time during the course of the PhD program, the decision of the Vice-Chancellor shall be final and binding.

D.40.0 DISCONTINUATION & EXIT OPTION

a) A Scholar who wishes to discontinue the Ph.D. Program may write to University with valid reasons, which may be recommended by the Research Supervisor & the Doctoral Advisory Committee, and the same shall be subsequently placed before the Vice-Chancellor for approval.

b) Such a Scholar shall be given a certificate mentioning the number of Credits that the candidate has fulfilled under each category at the time of discontinuance.

D.41.0 DISCIPLINE & ETHICS

a) Every Scholar enrolled into the Ph.D. Program shall maintain the discipline and decorous

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behavior both inside and outside the University and shall not indulge in any activity that could bring down the reputation of the University. Any act of indiscipline of a candidate shall be referred to the University disciplinary committee for inquiry and necessary disciplinary action, if any.

b) Any act of unethical practices including plagiarism by a Scholar shall automatically result in the dismissal of such a Scholar from the Program and candidate admission stands cancelled. Further, such a candidate shall not be eligible to apply for any program of study offered by the University. A scholar shall have to follow the norms and regulations of the University.

D.42.0 REPEAL AND SAVINGS

Notwithstanding anything contained in these Regulations, the provisions of any guidelines, orders, rules or regulations in force at the University shall be inapplicable to the extent of their inconsistency with these Regulations. The Academic Council with the approval of Board of Management of JSSSTU may revise, amend or change the regulations from time to time.

D.43.0 INTERPRETATION

a) Any questions/issues as to the interpretation of these Regulations shall be decided by the Vice-Chancellor, whose decision shall be final. The University shall have the powers to issue clarifications to remove any doubt, difficulty or anomaly which may arise during the implementation of the provisions of these Regulations.

b) If any difficulty arises while giving effect to the provisions of these regulations, the Vice-Chancellor may in extra-ordinary circumstances pass such order as the candidate may deem fit.

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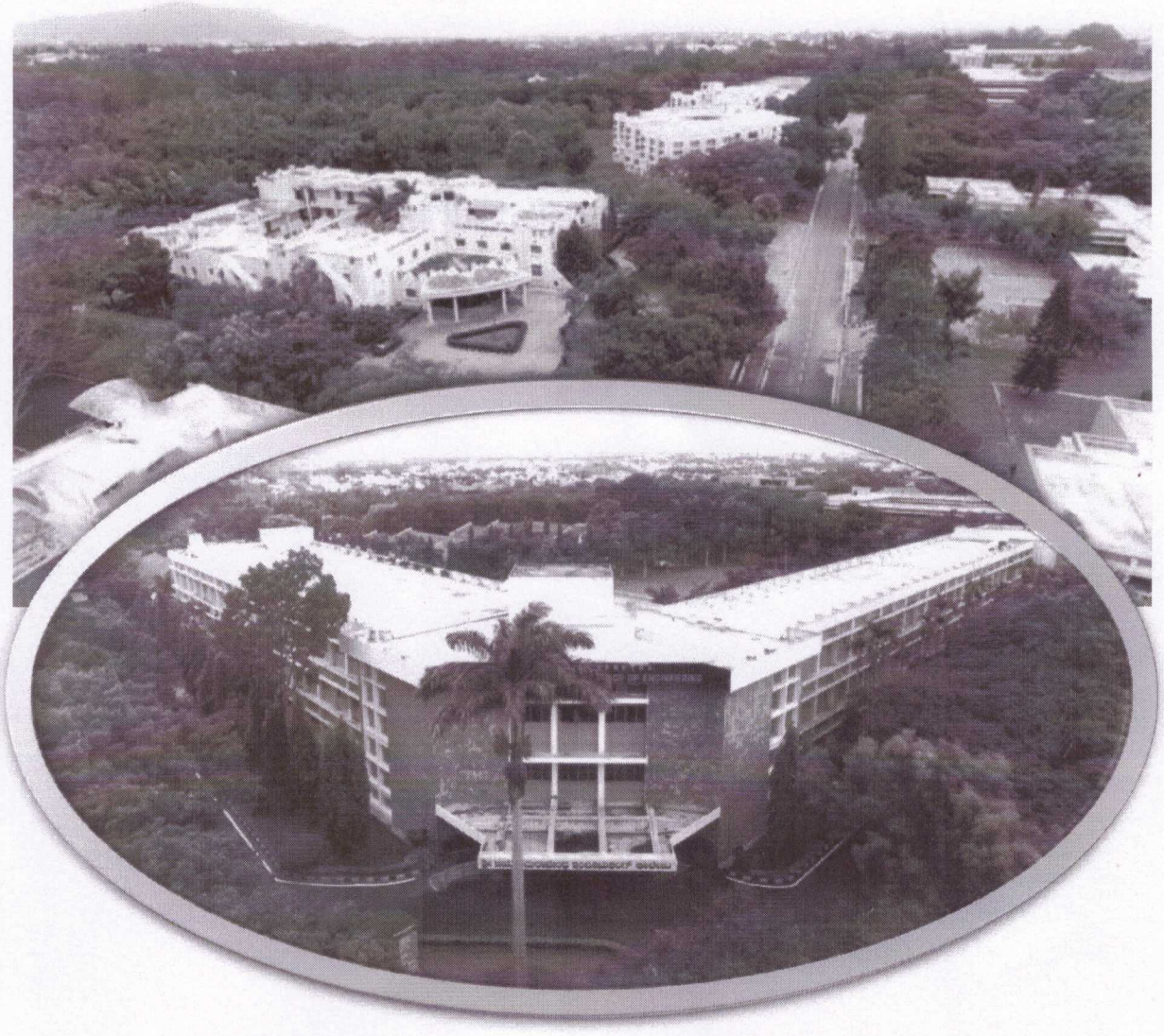

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