

**REGULATIONS GOVERNING  
THE DEGREE OF  
DOCTOR OF PHILOSOPHY (Ph. D.)  
2013**

(Framed under Section 44 read with Section 31(2) (ii) of the KSU Act  
2000)

(Approved by the Chancellor vide letter No. ED14 UBS 2013 dated  
28.01.2014)



**BANGALORE UNIVERSITY  
BANGALORE**

  
**BANGALORE UNIVERSITY**

OFFICE OF THE REGISTRAR (EVALUATION), PAREEKSHA BHAVANA, JNANA BHARATHI, BANGALORE - 560 056.

No. EX.II/Ph.D./REGULATION/2013-14.

Date: 26.02.2014

**NOTIFICATION**

**Sub:** Regulations Governing the Degree of Doctor of Philosophy (Ph. D.) - 2013 of Bangalore University - reg.

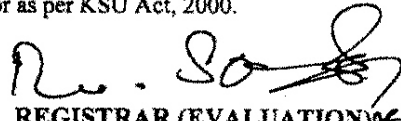
- Ref.** 1. Resolution of Academic Council passed at its meeting held on 10.09.2013.  
2. Approval of the Chancellor dated 14.01.2014 communicated vide Govt. Letter No. ED 14 UBS 2013 dated 28.01.2014.  
3. Approval of the Vice Chancellor dated: 23.02.2014.

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The University Grants Commission has considered and approved the U.G.C. Minimum Qualifications Required for the Appointment and Career Advancement of Teachers in Universities and affiliated Institutions (3<sup>rd</sup> Amendment) Regulations 2009 and also the U.G.C. Minimum Standards and Procedures for Award of M.Phil / Ph.D. Degree Regulations 2009, which have been notified vide Gazette of India dated 11.07.2009, and has directed all Universities vide letter No.F.No.1.1 (2002) (PS) Pt file III, dated 20.08.2009 to amend the concerned Regulations accordingly.

In view of the said UGC Regulations 2009, the Karnataka State Higher Education Council has constituted a Committee to frame draft Common Regulations for conducting Doctoral Programme in Universities of Karnataka State consequently. The Committee has framed draft Common Regulations governing the Degree of Doctor of Philosophy Karnataka State Universities duly incorporating all the conditions/ procedures laid down by the U.G.C. in its Minimum Standards and Procedures for Award of Ph.D Degree Regulation 2009 and circulated to all Universities for adoption vide Circular No. USP/Ph.D/2011-12/623 dated 03-06-2011.

Accordingly, the Regulations Governing the Degree of Doctor of Philosophy (Ph. D) 2013 was framed under Section 44 read with section 31(2)(ii) of the KSU Act and the same is approved in the Academic Council meeting held on 10.09.2013. Further, the said Regulations have been approved by the Chancellor on 14.01.2014 communicated vide Govt. Letter No. ED 14 UBS 2013 dated 28.01.2014. Hence, these Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) 2013 of Bangalore University Bangalore has come into force w.e.f., 14.01.2014 i.e., from the date of approval of the Chancellor as per KSU Act, 2000.

  
REGISTRAR (EVALUATION) *26/2/14*

To:

1. All the Chairpersons of the P.G. Department, BUB & The Director, P.G Centre, Kolar/  
Principals of the Research Centre of Bangalore University.
2. The Deans of Faculties of University.

Copy:

1. All the Officers of the University.
2. Bangalore University Website.
3. P.S to V.C/ Registrar / Registrar (Evaluation) & P.A to F.O. BUB.
4. Office copy.



ಕರ್ನಾಟಕ ಸರ್ಕಾರ

ಕ್ರಮಾಂಕ: ಇಡಿ 14 ಯುಬಿಎಸ್ 2013

ಕರ್ನಾಟಕ ಸರ್ಕಾರದ ಸಚಿವಾಲಯ,

ಬಹುಮಹಡಿ ಕಟ್ಟಡ,

ಬೆಂಗಳೂರು, ದಿನಾಂಕ: 28-1-2014

ಇಂದ

ಸರ್ಕಾರದ ಪ್ರಧಾನ ಕಾರ್ಯದರ್ಶಿ (ಉನ್ನತ ಶಿಕ್ಷಣ),

ಶಿಕ್ಷಣ ಇಲಾಖೆ,

ಬೆಂಗಳೂರು - 560 001.

ಇವರಿಗೆ

ಕುಲಸಚಿವರು,

ಬೆಂಗಳೂರು ವಿಶ್ವವಿದ್ಯಾನಿಲಯ,

ಬೆಂಗಳೂರು.

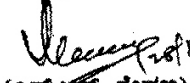
ಮಾನ್ಯರೆ,

ವಿಷಯ:- Regulations governing the Degree of Doctor of Philosophy (Ph.D.) in Bangalore University, Bangalore.

ಉಲ್ಲೇಖ:- ತಮ್ಮ ಪತ್ರ ಸಂಖ್ಯೆ: Ex-II/Ph.D./Regulations/2013-14,  
ದಿನಾಂಕ: 14-9-2013.

ಮೇಲ್ಕಂಡ ವಿಷಯ ಹಾಗೂ ಉಲ್ಲೇಖಿತ ಪತ್ರಕ್ಕೆ ಸಂಬಂಧಿಸಿದಂತೆ, ಘನತೆವೆತ್ತ ಕುಲಾಧಿಪತಿಗಳು ದಿನಾಂಕ: 14-01-2014 ರಂದು Regulations governing the Degree of Doctor of Philosophy (Ph.D.) in Bangalore University, Bangalore ಗೆ ಅನುಮೋದನೆ ನೀಡಿದ್ದು, ಅನುಮೋದಿತ ವಿನಿಯಮದ ಪ್ರತಿಯನ್ನು ಇದರೊಂದಿಗೆ ಲಗತ್ತಿಸಿ ತಮಗೆ ಕಳುಹಿಸಿಕೊಡಲು ನಿರ್ದೇಶಿತನಾಗಿದ್ದೇನೆ.

ತಮ್ಮ ನಂಬುಗೆಯ,

  
(ಎಸ್.ಆರ್. ರೇವಣ್ಣ)

ಸರ್ಕಾರದ ಅಧೀನ ಕಾರ್ಯದರ್ಶಿ,

ಶಿಕ್ಷಣ ಇಲಾಖೆ (ಉ.ಶಿ. ಮತ್ತು ವಿಶ್ವವಿದ್ಯಾನಿಲಯಗಳು)

# CONTENTS

		<b>Page No.</b>
01	Title and Commencement	06
02.	Definitions	06
03.	Subject/Title of Research and Nature of Research Programme	07
04.	Eligibility to apply for Admission to Ph.D. Programme	08
05.	Intake	08
06.	Notification of Vacant Seats	09
07.	Submission of Applications	09
08.	Entrance Test	09
09.	Preparation of Merit List of Successful Candidates	09
10.	Allotment of Research Supervisor/Guide	10
11.	Course Work	10
12.	Examination and Evaluation of Answer Scripts	12
13.	Minimum Pass Marks and Improvement Examination	12
14.	Research Proposal/Outline and confirmation of Registration.	13
15.	Progress Reports	13
16.	Validity Period of Registration	13
17.	Procedures for Recognition of Research Supervisor/ Guide	14
18.	Change of Research Supervisor/Guide	15
19.	Doctoral Committee	15
20.	Duties and Responsibilities of Doctoral Committee	16
21.	Submission of Thesis:	16
22.	Adjudication of Ph.D. Thesis	17
23.	Viva-Voce Examination	18
24.	Award of Ph.D. Degree	19
25.	Depository with UGC:	20
26.	Publication of Thesis	20
27.	Prohibition for doing Ph.D.	20
28.	Repeal and Savings	20



## **BANGALORE UNIVERSITY, BANGALORE**

### **REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph. D.) 2013**

(Framed under Section 44 read with section 31(2) (ii) of the KSU Act 2000)

#### **Preamble**

The University Grants Commission has notified its Regulations 2009 regarding minimum standards and procedures for award of M.Phil./Ph.D. degree vide Gazette of India, Notification dated 11.07.2009. The UGC has also directed all Universities vide letter No.F.No.1-1(2002) (PS) Pt file III, dated 20.08.2009 to amend the concerned Regulations accordingly.

Further, the U.G.C vide its Notification No.F.3-1/2009 dated 30.06.2010 has notified the “UGC regulations on minimum qualifications required for appointment and promotion of teachers and other academic staff in Universities and colleges and measures for the maintenance of standards in Higher Education 2010” in the Gazette of India on September 18, 2010 in part III SEC.IV.

As per the UGC Regulation of Minimum Qualifications required for the Appointment and Career Advancement of Teachers, “NET / SLET shall remain the minimum eligibility condition for recruitment and appointment of Asst. Professors / Lecturers or equivalent positions in Universities / Colleges / Institutions. Provided, however, that Candidates who are or have been awarded their Ph.D. Degrees in compliance with the ‘University Grants Commission Regulation 2009’, shall be exempted from the requirement of minimum eligibility condition of NET/SLET for recruitment and appointment.

Meanwhile, the Karnataka State Higher Education Council, Govt. of Karnataka has constituted a Committee to frame Common Regulations for Doctoral Programme in Universities of Karnataka State, based on the common Regulations of UGC. Consequently, the Committee has framed Common Regulations governing the Degree of Doctor of Philosophy in Karnataka State Universities duly incorporating all the conditions / procedures laid down by the U.G.C. in its minimum standards and procedures for Award of Ph.D. Degree Regulations 2009. The Govt. of Karnataka has directed all the Universities to adopt these common Regulations duly making modifications if necessary. Hence, Bangalore University has adopted these Regulations with necessary modification.

#### **Salient Features**

- 01.** Admissions shall be based on the Entrance Test/Exemption Criteria and counselling as per the merit-cum-reservation policy of the Government.

02. Predetermined number of students shall only be admitted to the Programme.
03. Allocation of Research Supervisor for a selected student shall be decided by the University/Department in a formal manner depending on the number of student vacancies per faculty member, the available research areas among the faculty guides and the student's research interest as indicated by the student in the application.
04. The selected student has to undertake course work which shall be part of the Ph.D. programme.
05. Research work may be carried out either on full-time or on part-time basis.
06. Thesis shall be adjudicated by a Board of Adjudicators consisting of three examiners including the Research Supervisor, out of which preferably one shall be from outside the State / Country.

## 01. Title and Commencement

- 1.1. These Regulations shall be called, "**Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) of Bangalore University, 2013**".
- 1.2. These Regulations shall come into force from the date of assent of the Chancellor.

## 02. Definitions: In these Regulations, unless the context requires otherwise or it is specifically so defined,

- 2.1. **University** means a University established and incorporated under Section 3 of the KSU Act, 2000.
- 2.2. **Degree** means the Degree of Doctor of Philosophy (Ph.D.).
- 2.3. **Fee** means the fee prescribed by the University for the Ph.D. programme.
- 2.4. **Entrance Test** means the test taken by the applicants who seek to qualify themselves for registration for Ph.D. programme.
- 2.5. **Course Work** means the courses prescribed as a part of Ph.D. programme and which all the candidates shall successfully complete as a pre-requisite for confirmation of registration.
- 2.6. **Research Supervisor/Guide** means the qualified teacher who is recognized by the University as Research Supervisor/Guide to guide the candidates for their Ph.D programme.
- 2.7. **Co-supervisor/Co-guide** means the recognized Research Supervisor who guides and supervises an inter-disciplinary Doctoral Thesis of a candidate as the second supervisor along with the Research Supervisor.

- 2.8. **Departmental Research Committee** means the Committee comprising the recognized guides in the University Department to permit the candidate to submit the final synopsis and the thesis after reviewing the work of the candidate in the pre-submission colloquium.
- 2.9. **Doctoral Committee** means the Committee constituted by the University to assess the research proposal of the candidates for registration, to review the progress of the candidates and to perform any other function assigned by the university.
- 2.10. **Board of Studies** means the Board of Studies (Post-Graduate) of the University in the discipline/subject concerned.
- 2.11. **Research Proposal means** a brief write-up on the proposed research work which shall be submitted by the candidate along with the application for registration for Ph.D. programme.
- 2.12. **Synopsis means** the summary of the completed research work which shall be submitted by the candidate.
- 2.13. **Sponsored Candidates** mean those permanent employees of educational and/or research institutions and organizations of public/private sector deputed to pursue Ph.D. including the permanent teachers on FIP/QIP.
- 2.14. **Foreign Students** mean those who are foreign citizens.
- 2.15. **Academic Council** means Academic Council constituted under Section 30 of the KSU Act, 2000.
- 2.16. **Refereed/Reputed Journals** means a professional or literary journal or publication in which articles or papers are selected for publication through peer review process.

### **03. Subject/Title of Research and Nature of Research Programme**

- 3.1. The candidate shall work for Ph.D. degree in a subject studied at the Master's Degree or related subject under a recognized guide. However, he / she may be permitted with the approval of the concerned Board of Studies, to conduct research in a subject other than one chosen for the Master's Degree, provided it is of an inter-disciplinary nature.
- 3.2. If the research topic is of inter-disciplinary nature, the candidate with the consent of his guide may opt for a co-guide who shall also be the recognized guide of the University. However, the main responsibility of supervising the research work shall vest with the guide and the candidate shall finalize and submit the thesis through the guide.

- 3.3. There shall be two types of Research Candidates – full time and part time. Part-time Ph.D. programme is normally for the benefit of working persons such as teachers/ Scientists/ Professionals / Librarians/ Physical Education Personnel employed in the University, affiliated/ constituent colleges or Institutions/ Industries.
- 3.4. The employees who take up Ph.D. programme on full time basis shall produce a certificate from their employer-organizations for having sanctioned study leave. Other candidates who take up Ph.D. programme on full time basis shall give an undertaking to the effect that they will not take up any job during the period of research. If the candidate takes up a job then full time Registration may be converted into part-time on condition similar to part-time Research.

#### **04. Eligibility to apply for Admission to Ph.D. Programme**

- 4.1. Any candidate who has obtained a Post-Graduate Degree from a recognized University securing not less than 55% marks shall be eligible to apply for the PhD Degree Programme.
- 4.2. In the case of SC/ST/Cat-I/Differently abled candidates, and those who are appointed on regular basis prior to March 31, 1992 as teachers, librarians and physical education personnel in colleges and University Departments, the minimum marks shall be 50% provided the employees are continuing in service at the time of submission of application for registration.
- 4.3. If the results of Master's Degree are declared in the form of grades/credits/ cumulative points in their marks cards/ transcripts, such grades/points shall be converted into percentage to assess the minimum eligibility criteria as specified above in Regulations 4.1 and 4.2.

#### **05. Intake**

- 5.1. Each Research Supervisor/Guide shall guide not more than eight candidates at a time including the candidates who have registered for Ph.D degree in other universities (acceptance of guideship of other universities shall be with the permission of the University), out of which one seat each shall be reserved for (a) SC, (b) ST/Category-I, (c) IIa and (d) IIb/ IIIa/IIIb candidates.
- 5.2. The seats reserved for SC, ST/Category-I candidates shall be interchangeable (if there is no eligible candidate from SC, SC vacancy may be filled with ST /Category-I candidate and vice-versa). These vacancies shall not be transferred to OBC or General Pool.
- 5.3. The number of part-time research candidates per Guide shall not normally exceed four



- 06. Notification of Vacant Seats:** The University shall issue a notification inviting applications for Ph.D. programme from the eligible candidates (both entrance and non-entrance categories) mentioning the number of seats available in each subject. The notification shall be issued as press note in leading newspapers and University Website once in a year preferably in the month of August/September.

The UGC/CSIR/National level test based JRFs may be allowed provisional registration through counseling, under non-entrance category, in case the admission process is delayed.

- 07. Submission of Applications:** The eligible candidates shall submit the application in the prescribed format (**Application – A**) to the **Registrar (Evaluation)/Officer designated for the purpose** in response to the notification of the University.

**08. Entrance Test**

8.1. All eligible applicants except those mentioned under 8.2 shall appear for the Entrance Test.

8.2. The candidates who have cleared the UGC/UGC-CSIR JRF Test/ NET/ SLET/ SET/ GATE/ Recognised young researchers by DST, UGC, CSIR, AICTE, etc./ obtained M.Phil. degree through regular course work and not through distance education mode/ Project Fellows/ Project Assistants working in sponsored major research projects/ FIP/QIP/ Foreign candidates shall be eligible for exemption from the Entrance Test.

**8.3. The Entrance Test.**

8.3.1. **Maximum marks for Entrance Test:** 100.

8.3.2. **Nature of questions:** Multiple choice questions of one mark each.

8.3.3. **Syllabus for the Entrance Test:** Research Methodology and / or cognate/ core subjects of the P. G. courses.

8.3.4 **Duration of Entrance Test:** 120 minutes.

**9. Preparation of Merit List of Successful Candidates:**

9.1. After the Entrance Test, Consolidated Merit List of all the candidates shall be prepared on the basis of the marks obtained in the entrance test and marks obtained in the qualifying examination in the ratio of 50:50. However, the candidate has to secure overall minimum of 50% marks (45% for SC/ST/Cat.I, a further remission of 5% of marks may be considered, if the seats still remain vacant,) to be eligible for provisional registration.

- 9.2. The Merit List of the candidates who have cleared the UGC/UGC-CSIR JRF Test/ NET/ SLET/ SET/ GATE/ Recognised young researchers by DST, UGC, CSIR, AICTE, etc./ obtained M.Phil. degree through regular course work and not through distance education mode/ teachers on FIP/QIP/ Project Fellows/ Project Assistants working in sponsored major research projects shall be prepared in that order, based on the percentage of marks secured by them at their qualifying examinations.
- 9.3. Names that appear in the Consolidated Merit Lists shall be notified and considered for the present vacancies only. The vacancies shall be allotted equally to the Entrance and non-Entrance categories. However the vacant seats are mutually transferable.

## **10. Allotment of Research Supervisor/Guide**

- 10.1. After the finalization of Consolidated Merit Lists, the university may arrange for the centralized counseling for the **allotment of research supervisor/guide** or may ask the departmental research committee of the respective department under the chairpersonship of the P. G Department to allot the candidates to the Research Supervisors based on the merit list, specialization stream of the candidate and the Research Supervisor, and the willingness of both the Research Supervisor and the Candidate.
- 10.2. After the allotment of candidate to the supervisor, the candidate shall finalize the research topic/tentative title in consultation with the Research Supervisor for provisional registration within a month.
- 10.3. Immediately afterwards, the candidates shall submit another application (Application – B) along with the Research Proposal/Outline to the **Registrar (Evaluation)** through the Guide and the Chairperson of the concerned P. G. Department for Provisional Registration after paying the requisite fee to the University.
- 10.4. All the provisionally registered candidates shall complete the course work in the P. G Department of the University or in the Laboratory/ Institution or the Department of an affiliated/constituent college (wherein the Research Supervisor is working) recognized by the University as Research Centre.

## **11. Course Work**

- 11.1. After Provisional Registration, all the registered candidates shall take up the course work in the respective P.G Department/ College/ Institution. The Full time and the part-time candidates have to complete the course work in a semester on full time basis. In exceptional cases the part time research candidates may be allowed to complete the course work in two semesters. During full time course work, the candidates shall take papers I, II, III and work on the Research Proposal under the supervision of the

Guide in a semester. In part time course work, the candidates shall take papers I, II & III in the first semester and in the second semester work on the Research Proposal.

- 11.2. The course work for Ph.D. programme shall comprise of three papers of 100 marks each, viz., Course – I: Research Methodology, Course – II: Cognate/core Subjects and Course – III: Field of Specialization. In addition to this, a candidate shall also work to prepare the Research Proposal under the supervision of the Guide. There shall also be a comprehensive viva-voce for 50 marks. However, it shall be noted here that Courses – I and II are common for all the candidates in a particular Department/Subject/Discipline. Course – III shall be common for all the candidates working under a guide.
- 11.3. After the successful completion of the course work the candidate shall submit the research proposal through the Guide / Supervisor and the Chairperson of the PG Department / Principal of an affiliated College or Head of the recognized Research Centre to the Chairperson of the Doctoral Committee for scrutiny and approval. On receipt of the approved research proposal along with the title of the proposed thesis from the Chairperson of the Doctoral Committee, the Registrar (Evaluation) shall issue confirmation of Registration.
- 11.4. Each paper shall have 48 contact hours. Classes for Papers – I and II shall be arranged by the chairperson of the P. G Department / Principal of an affiliated College / Head of the recognized Research Centre, and that of Paper – III by the concerned Research Supervisor. **Both the full-time and part-time candidates shall attend at least 75% of the classes in each paper to be eligible to appear for the examination.**
- 11.5. The candidates who fail to attend a minimum of 75% of the classes in each of the paper shall not be eligible to appear for the examination and to obtain the confirmation of registration for Ph.D. programme, and they shall attend the classes again with the next batch.
- 11.6 The Pattern of Course Work for the Ph.D. Programme.

Sl. No	Name of the Course	Contact Hours per Week	Maximum Marks			Examn Hours
			Continuous Assessment	Course-end Examination	Total	
01	Paper - I: Research Methodology	03	30	70	100	03
02	Paper - II: Cognate/ Core Subject	03	30	70	100	03
03	Paper - III: Field of Specialization	03	30	70	100	03
Total			90	210	300	
Viva Voce					50	

- 11.7. Continuous Assessment Marks of the course work shall be awarded by the teachers for each paper based on (a) Assignments – 5 marks, (b) Review of Literature – 5 marks, (c) Seminar – 10 marks, and (d) Tests – 10 marks.
- 11.8. The concerned Board of Studies (PG) shall prepare and approve the course inputs for each of the three papers.

## **12. Examination and Evaluation of Answer Scripts**

- 12.1. There shall be a Board of Examiners (Ph.D.) constituted by the Registrar (Evaluation), with the approval of the Vice Chancellor, based on the panel of examiners approved by the Board of Studies.
- 12.2. The chairperson of the Board of Examiners shall get the requisite number of question papers set, get them approved by BOE, send them to the Registrar (Evaluation) and arrange for the evaluation of answer scripts. The chairperson of the P.G Department shall conduct the examination for all the candidates (i.e., including those who are working for Ph.D. in other institutions) in the Department.
- 12.3. There shall be Course-end Examination of three-hour duration (for 70 marks per paper). Each answer script of the Course-end Examination shall be coded and assessed by two examiners (preferably, one internal Course Teacher and another external). The marks awarded to the answer script shall be the average of these two evaluations.
- 12.4. If the difference in the marks between two evaluations exceeds 20% of the maximum marks, such a script shall be assessed by a third external examiner. The marks awarded to that script shall be the average of two nearest marks out of the three evaluations.

## **13. Minimum Pass Marks and Improvement Examination:**

- 13.1. Minimum for pass in each written paper shall be 40% in the course end examination and 50% in aggregate including the continuous assessment marks. However, there shall be no minimum for viva-voce. But every candidate shall compulsorily attend the viva-voce examination. The results shall be declared on the basis of three papers and viva-voce examination.
- 13.2. Failed candidates shall be allowed to take only one supplementary examination within six months of their first examination. In case of failure of the candidate even after an improvement examination, his/her Provisional Registration stands cancelled.

#### **14. Research Proposal/Outline and confirmation of Registration.**

- 14.1 Within one month after declaring the result, the successful candidates shall submit the final application (Application – C) along with the Research Proposals to the Registrar (Evaluation) through the Guide and Chairperson of the PG Department / Principal of an affiliated College or Head of the recognized Research Centre.
- 14.2. The candidates shall prepare the Research Proposal defining clearly the objectives, methodology, literature survey, work plan and relevance of the proposed research.
- 14.3. The Doctoral Committee shall scrutinize and approve the proposed research work. The Committee is empowered to suggest changes, if necessary, in the title/scope/methodology of the proposal in consultation with the Supervisor.
- 14.5. The university shall issue the necessary notification within a month from the date of the meeting of the Doctoral Committee.

#### **15. Progress Reports**

- 15.1. After the completion of the course work and confirmation of the registration, every candidate shall submit half-yearly progress report regularly in the month of January and July to the Registrar (Evaluation) through the Research Supervisor and Chairperson of the P.G Department / Principal of an affiliated College or Head of the recognized Research Centre. The half-yearly Progress Report should cover, among others, the aspects such as the review of literature, new data collected/obtained, techniques developed, progress in research, discussion of the work done including findings, etc
- 15.2. The candidate shall present the progress made by him/her once in a year in the place of his/her work.
- 15.3. If a candidate fails to submit two consecutive half-yearly progress reports on time and/or if the progress of the candidate is not satisfactory for two half-year periods, the Doctoral Committee shall recommend to the University for cancellation of his/her registration in consultation with the concerned Research Supervisor. Before cancellation, a show-cause notice shall be issued to the candidate. If the reply is not satisfactory or not submitted within a month, the University shall cancel registration.

#### **16. Validity Period of Registration**

- 16.1. Every full time candidate shall take a minimum of three years and maximum of five years, and every part time candidate shall take a minimum of four years and a maximum of six years from the date of

Provisional Registration (i.e., from the date of commencement of course work) to submit his/her thesis.

- 16.2. A part time candidate may be permitted to work on full time basis on valid grounds. The period of such registrations shall be three years from the date of changeover or four years from the date of provisional registration, whichever is earlier. A full time candidate may also be permitted to work on part time basis, but the period of such registration shall be four years from the date of provisional registration.
- 16.3. Part time candidates shall work for at least 120 working days in the Department of the Guide, excluding the period of course work.
- 16.4. In exceptional cases, extension beyond the above maximum period may be granted by the University on the recommendation of the Research Supervisor and Doctoral Committee for justifiable reasons for a period of one more year if the candidate applies at least three months before the expiry of the period and pays the prescribed fee.
- 16.5. Under extraordinary circumstances by which a candidate is affected and such circumstances warranting a further extension of period for submission of thesis, the candidate shall make an appeal before the expiry of the period (after paying the extra fee as prescribed by the University) to the Registrar (Evaluation) through the Research Supervisor, and the Chairperson of the P.G Department/ Principal of the College/ Head of the Institution. The Registrar (Evaluation) shall refer the same to the Doctoral Committee for its opinion. The opinion of the committee shall be submitted to the Vice Chancellor for consideration. The decision of the Vice-Chancellor shall be final and the extension is limited to a maximum of two years.

## **17. Procedures for Recognition of Research Supervisor/Guide**

- 17.1. All Professors and Associate Professors in P.G Departments of the University, who have Ph.D. Degree and who are working on regular basis shall be eligible to supervise Doctoral candidates.
- 17.2. Assistant Professors/Teachers, Librarians/ Assistant Librarians, Directors /Assistant Directors of Physical Education in the Post-Graduate departments of the University who have Ph.D. degree with at least three years of independent research experience after Ph.D. degree as evidenced by publications in refereed / reputed journals (other than those published from the contents of the Ph.D. thesis) shall be eligible to be recognized as research Supervisors in their subjects.
- 17.3. Scientists/Professionals working in research institutions, recognized as Research Centers by the University, who have Ph.D. degree with at least three years of independent research experience after Ph.D. degree

as evidenced by publication in the refereed / reputed journals (other than those published from the contents of the Ph.D. thesis) shall be eligible to be recognized as research Guides in their subjects.

- 17.4. In all the above cases (Clauses 17.1 to 17.3), the Board of Studies shall satisfy itself that the person has a sustained record of independent Post-Doctoral Research and Publications.
- 17.5. In the cases of interdisciplinary subjects, a candidate may have two Supervisors of which one is the Research Supervisor and another is Co-supervisor. However, the Research Supervisor and Co-supervisor shall not be from the same department.
- 17.6. A Research Supervisor shall not become Co-supervisor for more than three candidates.
- 17.7. The University shall not recognize the College / Institution affiliated to another University as its Research Centre.

## **18. Change of Research Supervisor/Guide**

- 18.1. Generally, change of Research Supervisor/Guide shall not be entertained.
- 18.2. Under extraordinary circumstances such as death or disability on health ground of the Supervisor or transfer of the Supervisor, the change of Research Supervisor shall be permitted by the University at the request of the Candidate and on the recommendation of the chairperson of the P.G Department / Principal of an affiliated College / Head of the Recognized Research Centre.
- 18.3. In case of any conflict between the Research Supervisor and the Candidate, the Chairperson of the P. G Department, on receipt of the request letter either from the Candidate or from the Research Supervisor or both, shall refer the matter to the Registrar (Evaluation). The Doctoral Committee shall examine the case and give its report/ recommendation. The decision of the Vice Chancellor shall be final in this regard.

## **19. Doctoral Committee**

- 19.1. There shall be a subject-wise Doctoral Committee constituted by the University for the purpose of smooth conduct of Ph.D programme. The Committee shall comprise,
  - Dean of the concerned Faculty: Chairman
  - Chairperson of P. G. Board of Studies: Member
  - Chairperson of the Department: Member
  - Senior most Faculty in the Department: Member
  - External Expert in the subject: Member
  - Research Supervisor: Members
  - Deputy Registrar/Assistant Registrar: Convenor

The quorum for the meeting shall be three. If the Dean is not available, the Chairperson of the concerned P. G. Board of Studies shall preside over the meeting.

19.2. The Doctoral Committee shall meet at least twice a year.

## **20. Duties and Responsibilities of Doctoral Committee**

20.1. To consider the half-yearly progress reports of registered candidates forwarded by the Supervisor and Chairperson of the P. G Department / Principal of an affiliated Colleges / Head of the Research Centre.

20.2. To consider the request of the candidate for change of title of the thesis on the recommendations of the Supervisor.

20.4. To carry out such other duties as the University may entrust to the Committee from time to time.

## **21. Submission of Thesis:**

21.1 Prior to submission of the thesis the candidate shall appear before the Departmental Research Committee and present the work including methodology and data collected in the pre-submission colloquium. He / She shall have published a minimum of two research papers (published or accepted in journals of repute) / shall have presented a minimum of two research papers at the national level seminars or hold patents (accepted or granted) on the basis of his / her research which shall be verified by the Research Committee.

21.2. The supervisor shall communicate the decision of the pre-thesis submission colloquium to the Registrar (Evaluation) as well as to the candidate within a week of conducting the colloquium as to whether the Research Committee has permitted the submission of final synopsis. If the performance of the candidate at the colloquium is not satisfactory, the Research Committee shall give another opportunity within 3 months from that date. Even after this the performance is not satisfactory, the matter shall be referred to the Doctoral Committee for opinion based on which the decision of the Vice Chancellor is final in the matter.

21.3. The candidate who gets approval of the Departmental Research Committee to submit the thesis shall submit fifteen copies of the final synopsis of the thesis to the Chairperson of the Board of Studies through the guide and / Head of the Institution for preparing the panel of examiners.

21.4. Within three months after the submission of final synopsis the candidate shall submit three hard copies and three soft copies of the thesis along with application and the prescribed fee through the Guide and the Chairperson of the Department / Head of the Institution / College concerned to the Registrar (Evaluation), failing which the candidate shall request for extension of time for another three months by paying the penal fee fixed by



the University. He/she shall submit the thesis within the next 3 months but not later than the maximum period of registration.

- 21.5. The thesis shall contain a certificate from the Guide that the thesis submitted is the record of the research work done by the candidate within the period of the study, and that it has not previously formed the basis for the award of any Degree / Diploma / Associateship / Fellowship or other similar titles to any candidate.

## **22. Adjudication of Ph.D. Thesis**

- 22.1. The Chairperson of the B.O.S. shall place before the BOS/circulate the Panel of Adjudicators submitted by the guide for approval by the BOS. The Chairperson of BOS shall send the approved panel to the Registrar (Evaluation) by name along with five copies of the final synopsis.
- 22.2. The panel of adjudicators prepared and approved by the Board of Studies shall include only experts in the concerned field and not below the cadre of Associate Professors, or senior scientists/ academicians who possess Ph.D. in the concerned discipline/subject and have research experience in the field. Further, out of ten experts, generally at least five shall be from universities/institutions outside Karnataka and/or foreign universities.
- 22.3. For the adjudication of Ph.D. thesis, there shall be a Board of Adjudicators consisting of the research supervisor/guide as chairperson and two external members to be chosen by the Vice-chancellor from a panel of ten experts prepared and approved by the Board of Studies.
- 22.4. Each adjudicator shall send the report to the Registrar (Evaluation), within two months from the date of receipt of the thesis.
- 22.5. Each adjudicator's report shall include the following:
- A critical account of the work of the candidate as embodied in the thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
  - Details of any question/s to be asked to the candidate or points to be clarified by the candidate at the open viva-voce examination.
  - A definite recommendation as to whether the Ph.D Degree should be awarded or not.
  - The adjudicators shall also be required to answer specifically the following-
    - Whether the Ph.D. Degree can be awarded on the basis of the thesis as presented?

- If the answer is **no**, whether the thesis can be resubmitted after revision/corrections? or a definite recommendation against the award of the Degree.
  - Whether the thesis is fit for publication with or without revision?
- 22.6. If all the reports are positive / favourable, the Registrar (Evaluation) shall take necessary steps and request the Research Supervisor/Guide to (a) prepare and send the consolidated report on the thesis, and (b) arrange for the open viva-voce examination inviting one of the external adjudicators approved by the Vice-chancellor.
- 22.7. If one of the examiners makes a qualified recommendation with valid reasons and recommends for re-submission of the thesis after suitable modifications, the Registrar (Evaluation) shall communicate to the concerned candidate, through the Research Supervisor, for re-submitting the thesis after suitable modifications within six months from the date of communication. In this case, the modified thesis shall be sent to the same adjudicator who recommended for re-submission.
- 22.8. No candidate shall be permitted to resubmit the thesis more than once.
- 22.9. If one of the adjudicators makes a definite recommendation against the award of the Degree, the thesis shall be referred to another external adjudicator. If the report of such adjudicator is favourable, then the candidate shall be eligible to appear for the open viva-voce examination. Otherwise, the thesis shall be rejected. However, the reports of the adjudicators shall be made available to the candidate.
- 22.10. If both the external adjudicators make definite recommendations against the award of Ph.D. Degree, the thesis shall be rejected.

### **23. Viva-Voce Examination**

- 23.1. On the receipt of the favourable /satisfactory reports from the external adjudicators, an open viva-voce examination shall be conducted on any working day by a Board constituted by the Registrar (Evaluation) based on the approval of the Vice-Chancellor. The Board shall comprise the following.
- Research Supervisor : Chairperson
  - One external Adjudicator: Member
  - Co-Research Supervisor, if any: Member
- 23.1.1. In case where the Research Supervisor cannot attend the viva-voce examination, then the co-supervisor or external adjudicator shall be made the chairperson. However, a written consent from the Research Supervisor

and prior approval from the Vice-chancellor shall be mandatory. When an External Adjudicator is appointed as the chairperson, then one more external adjudicator who adjudicated thesis shall be invited as the member if he/she is from India. Otherwise, another expert from the panel approved by BOS shall be invited as the member.

23.1.2 Under extraordinary circumstances where either of external adjudicators cannot be present for the viva-voce examination, the Vice-chancellor shall appoint another external substitute expert from the panel approved by the Board of Studies.

23.2. Besides the above, the chairperson of the Viva-voce Board shall invite the Chairperson and members of Doctoral Committee, and send a circular to all the Departments inviting interested Faculty Members, Research Scholars and Students to attend the viva-voce examination.

23.3. The Viva-voce examination shall primarily be designed to test the understanding of the candidate on the subject matter of the thesis including the methodology employed and the competence in the field of research. Any of the points raised by the adjudicators shall be clarified during the viva-voce examination, and the report of the examiners shall be made available to the Board.

23.4. In the case of candidates who are abroad and unable to be present physically, viva-voce examination may be held through video-conference mode as described above (with open viva) after the candidate pays the additional fees prescribed by the University.

23.5. The Report of the Open Viva-voce examination shall be signed by only the Research Supervisor and the External Examiner.

23.6. If the performance of the candidate in viva-voce examination is not satisfactory, he/she may be given one more chance to reappear for the viva-voce within three months.

23.7. If the candidate deceases prior to conduct of the viva-voce examination, the University may award the Ph.D. degree posthumously, provided both the external reports are favourable, as a special case.

## **24. Award of Ph.D. Degree**

24.1. After the successful completion of the open viva-voce examination by the candidate, the Chairperson of the Viva-voce Board shall send the report of the viva-voce examination (the report shall be signed by the him and the External Member) along with the consolidated report on the thesis and recommendation to the Registrar (Evaluation) for award of the Degree of Doctor of Philosophy to the candidate.

24.2. Along with the notification of the award of the Ph.D. Degree, the University shall issue a provisional certificate certifying to the effect

that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2009.

24.3 The candidate shall, after the viva-voce examination, incorporate the suggestions, if any, by the adjudicators into his/her thesis, and submit two more hard copies and two soft copies to the Registrar (Evaluation) for sending them to the University Library (both the hard and soft copies of the thesis) and to the Government (only hard copy).

**25. Depository with UGC:** Following the successful completion of the evaluation process and announcement of the award of Ph.D, the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of 30 days, for hosting the same in INFLIBNET.

**26. Publication of Thesis**

26.1. After the award of Ph.D. Degree, the entire thesis or any part of the thesis may be published by the candidate with the written permission of the University, giving due credit to the Research Supervisor. Two copies of the published works shall be submitted to the University Library.

26.2. After the award of the Ph.D. Degree, the thesis or any publication derived from the thesis work shall be the property of the University. The University shall rightfully share with the candidate and Supervisor for any copyright, patent or recognition to the thesis.

26.3. If a thesis is proved to be a copy/ plagiarism, the University shall rescind the degree and withdraw the recognition of the guideship of the supervisor for a minimum period of three years.

**27. Prohibition for doing Ph.D.**

The statutory officers of the University are prohibited from registering for Ph.D degree in the same University during their tenure.

**28. Repeal and Savings**

28.1 Notwithstanding anything contained in these Regulations, the Provisions of Guidelines, Order, Rule or Regulations in force shall be inapplicable to the extent of their inconsistency with these Regulations.

28.2 The University shall issue such orders, instructions, etc., and prescribe such format, procedure, etc., as it may deem fit to implement the Provisions of these Regulations.

28.3. If any difficulty arises in the implementation of these Regulations, the Vice-chancellor shall, in consultation with the Deans, be competent to issue necessary clarifications and at the earliest possible opportunity thereafter report the action taken by him to the Academic Council.

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