ವಿಶ್ವೇಶ್ವರಯ್ಯ ತಾಂತ್ರಿಕ ವಿಶ್ವವಿದ್ಯಾಲಯ
"ವಿ ಟಿ ಯು ಅಧಿನಿಯಮ ೧೯೯೪" ರ ಅಡಿಯಲ್ಲಿ ಕರ್ನಾಟಕ ಸರ್ಕಾರದಿಂದ ಸ್ಥಾಪಿತವಾದ ರಾಜ್ಯ ವಿಶ್ವವಿದ್ಯಾಲಯ".

Visvesvaraya Technological University

(State University of Government of Karnataka Established as per the VTU Act, 1994)
"Jnana Sangama" Belagavi-590018, Karnataka, India

Prof. B. E. Rangaswamy
REGISTRAR

Phone: (0831) 2498100
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VTU/BGM/Aca/Ph.D./2022-23/20764

Date: 21/03/23

NOTIFICATION

Sub: Ph.D-2023. Regulation (Minimum Standards and Procedure for the Award of Ph.D. Degree) reg...

This is a reference to the subject cited above, the Ph.D-2023. Regulation (Minimum Standards and Procedure for the Award of Ph.D. Degree) with Research Center, Supervisor, and Scholars. All Research centers are requested to intimate the necessary steps to implement the new regulations for the award of Ph.D., and the copy is available for reference at VTU web portal.

This would be in effect from the date of this notification with supersession of the VTU Ph.D. Degree Regulations, 2020 and its amendments, including all other previous Regulations for awarding Ph.D Degrees,

The contents of this notification may be brought to the notice of all the concerned.

Rav BE
21/03/23
REGISTRAR
21/03/23

To,

1. The Principal of all Affiliated, Autonomous, and Constituent Colleges under the ambit of VTU, Belagavi.
2. All Chairpersons of Department VTU Belagavi.
3. The Heads of Recognized Research Centers of VTU.
4. The Regional Director (I/c), of VTU's Regional Office at Bengaluru, Belagavi, Kalaburagi, and Mysuru.
5. The Director, R&D, VTU, Belagavi for information.
6. The Director (I/c), ITISMU VTU, Belagavi for information and uploading on a website.

Copy to:

1. The Hon'ble Vice-Chancellor, through the Secretary to VC, VTU, Belagavi
2. The Registrar's office, VTU, Belagavi for information
3. The Registrar (Evaluation), VTU, Belagavi for information
4. Office copy.

VISVESVARAYA TECHNOLOGICAL UNIVERSITY, BELAGAVI



Visvesvaraya Technological University

(Minimum Standards and Procedure for Award of Ph.D. Degree)

Regulations – 2023



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Visvesvaraya Technological University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations – 2023

Preamble:

Knowledge creation and research are critical to growing and sustaining a large and vibrant economy, uplifting society, and continuously inspiring a Nation to achieve even greater heights. A University has only one definition worldwide, namely, a multidisciplinary institution of higher learning that offers undergraduate, graduate, and Ph.D. programmes, and engages in high-quality teaching and research. Doctoral education in large multi-disciplinary Universities, while providing rigorous research-based specialization, would also provide opportunities for multidisciplinary work, in academia, government and industry. The NEP- 2020 mandates that Universities shall plan to make professional education become an integral part of the overall higher education system. This suggests that all higher education programmes shall significantly involve critical and interdisciplinary thinking and research. Hence, to regulate, in an orderly manner, the process of admission, registration of students, assessment of research progress, enable students to conduct quality research with in the specified period, and fairly adjudicate the thesis to award Research degree in Visvesvaraya Technological University (VTU), with due consideration to the NEP-2020 policy, and applicable Regulations of UGC, in exercise of the powers conferred under Section 22 of UGC Act 1956 and under the powers conferred by sub-section (1) & (2) of Section 7 of the VTU Act, 1994, with supersession of the VTU Ph.D. Degree Regulations, 2020 and its amendments, including all other previous Regulations for awarding Ph.D Degrees, the University hereby makes the following Regulations, namely:-

1. SHORT TITLE, APPLICATION, AND COMMENCEMENT

(1) These Regulations may be called Visvesvaraya Technological University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations – 2023.

(2) These Regulations shall apply to all Ph.D. Programmes conducted at the Visvesvaraya Technological University, its constituent Colleges, VTU approved Research Centers, and all other Colleges affiliated to VTU.

(3) These Regulations shall also be applicable to the Candidates seeking registration and admitted for Ph.D. in the Faculty of Engineering, Faculty of Architecture, Faculty of Applied Science, Faculty of Management, and Interdisciplinary Subject Areas.

(4) They shall come into force from the date of their Notification by the University.

2. DEFINITIONS

(1) In these Regulations, unless the context otherwise requires,

1. "Academic Integrity" means the intellectual honesty in proposing, performing, and reporting any activity, which leads to the creation of intellectual property.
2. "Academic Senate (AS)" means the Academic Authority of the University.
3. "Academic Year" means two consecutive semesters (one odd followed by one even) that constitute one academic year.
4. "Act" means the Visvesvaraya Technological University Act, 1994.
5. "ADF" (Formerly NDF) means AICTE Doctoral Fellowship to seek admission to Ph.D.programme.
6. "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired to teach by the University or a College.
7. "Admission Committee" means the Committee constituted by the Vice Chancellor for carrying out admission of candidates for Ph.D. programme and other related work.
8. "AICTE" means the All India Council for Technical Education established at New Delhi by an Act of Parliament in 1987.
9. "AIU" means Association of Indian Universities is an Organization and Association of major Universities in India. It evaluates the courses, syllabi, standards, and credits of foreign Universities pursued abroad and equates them in relation to various courses offered by Indian Universities.
10. "College" means an institution engaged in higher education and/ or research, either established by a University as its constituent unit or is affiliated with it.
11. "Course" means one of the specified units which go to comprise a programme of study.
12. "Course Work" means courses of study prescribed by the Faculty of Studies/ Research Centre/Department to be undertaken by a student registered for the Ph.D. programme.
13. "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one hour lectures per week, with each one-hour lecture counted as one credit.
14. "Cumulative Grade Point Average(CGPA)"means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places.
15. "Dean" means the senior most Dean of Faculties at the University.
16. "Degree"means a degree awarded by the University in accordance with the provisions of section 22 (3) of the UGC Act.
17. "Distance Education Bureau (DEB)" means a Bureau of UGC (Earlier to 2012, it was called Distance Education Council (DEC)).
18. "Discipline" means a Faculty/ Domain area of Ph.D. Programme, for example, Engineering, Management, Science, Commerce, Law etc.
19. "DOI" means Digital Object Identifier, is a unique permanent alphanumeric string

(e.g., DOI: 10.1109/ICCSRE.2019.8807726) assigned by a publisher for identifying an article and to provide a persistent link to its location on the Internet. The DOI will be with the article itself, usually on the first page somewhere, or in the header or footer.

20. "Executive Council (EC)" means the Executive Authority of the University, which is the principal executive body of the University.
21. "External examiner" means an academician/ researcher with published research work who is not part of the Higher Educational Institution where the Research scholar has registered for the Ph.D. programme.
22. "FIP" means the Faculty Improvement Programme of UGC.
23. "Foreign Educational Institution" means (i) an institution duly established or incorporated in its Home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, and ODL mode.
24. "Foreign National (FN)" means a candidate who is from a foreign country and includes Non-Resident Indians (NRI) and Persons of Indian Origin (PIO) status.
25. "Google Scholar id" means an identifier of a person, in the Google Scholar academic search service. Google Scholar allows users to search a wide variety of materials including articles, books, conference proceedings on a vast number of topics. It also allows to know how many times an article has been cited and by whom and provides citations for articles in several styles.
26. "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale.
27. "Higher Educational Institution (HEI)" means a University or an institution specified under Section (2) of Regulation 1 of these Regulations.
28. "Interdisciplinary Research" means research conducted by a Research Scholar in two or more academic disciplines.
29. "Integrated Degree" means a higher degree awarded combining the requirements of two degrees in sequence conducted in a shorter time frame e.g: M.Sc.(Engg) by research / M.Tech. along with Ph.D. degree in less than five years.
30. "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
31. "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
32. "ORCID", means Open Researcher and Contributor ID, is used to identify a person particularly who is an academic author. The ORCID ID is a 16-digit number that is compatible with the ISO Standard (ISO 27729), e.g., https://orcid.org/0000-0001-2345-6789.
33. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.

34. "Pre - Submission Colloquium" means the presentation given by the Research Scholar before the RAC, highlighting his/her research work before submission of the final thesis.
35. "Programme" means a planned series of events/activities comprising of a combination of courses and activities leading to the award of Ph.D. Degree/ Integrated Ph.D Degree.
36. "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a HEI and programmes, to the general public (including to those seeking admission in such HEI) by the HEIs.
37. "QIP" means Quality Improvement Programme of the GOI.
38. "Registrar" and "Registrar (Evaluation)" mean respectively the Registrar and Registrar (Evaluation) of the University.
39. "Research Advisory Committee (RAC)" means a committee constituted by the Vice Chancellor to review the progress of each Research Scholar.
40. "Research Associate" means a Research Scholar registered under Full Time Ph.D. category.
41. "Research Center (RC)" means an officially organized Center approved by the University for the Scholars to pursue Ph.D. in an approved discipline.
42. "Research Scholar" means the status of a candidate who is registered for the Ph.D. Programme after due selection process until he either successfully completes the final viva-voce leading to Ph.D. or registration is cancelled.
43. "Research Supervisor" means a Faculty of the University or other Institutions or individual Scholars found to be eligible for guiding the Research Scholars as per UGC norms and approved by the RQAC of the University.
44. "Research Proposal" means a brief write-up giving an outline of the proposed research work which the Research Scholar shall submit along with the application for registration for Ph.D. programme.
45. "Specialization" means a sub-discipline or branch of any Degree Programme like Business Management, Marketing Management, Supply Chain Management in MBA or CSE, ECE, MECH in Engineering and Technology.
46. "SCOPUS/SCI/WOS Indexed Journals" refers to journals of higher scientific quality as compared to non-indexed journals. These are reputed professional journals or literary journals or publications in which the research articles or papers are selected for publication by a panel of expert referees in the field.
47. "Transcript and Grade Card" means certificates issued to the successful candidates after completion of their Course work. Based on the grades earned, a grade card shall be issued to all the registered students after every semester. Transcript is a consolidated certificate issued at the end of completing the coursework. The grade card will display the programme details (Course code, title, number of credits, grade secured) along with SGPA of that semester.
48. "Trans-Disciplinary Research" means the research carried out in a discipline involving more than one discipline.

49. "UGC" means the University Grants Commission established at New Delhi, by an Act of Parliament in 1956.
50. "UGC - CARE Approved Journals" means journals selected by UGC to match global standards of high-quality research in all academic disciplines under its purview and to ensure prevention of academic misconduct that includes plagiarism in academic writing among students, Research Scholars, and faculty. CARE stands for Consortium for Academic and Research Ethics.
51. "University" means the Visvesvaraya Technological University established under Section 3 of the Act.
52. "Vice Chancellor or VC" means the Vice Chancellor of the University.
53. "Viva-Voce" means presentation of the research work by the Research Scholar followed by question – answer session, in front of subject experts/examiners and invited audience for assessment and examination.
54. "VTU-ETR" means VTU Eligibility Test for Research conducted by the University for admitting Candidates to Ph.D. programme.
55. "Website" means the University website at www.vtu.ac.in https://jnanashodha.vtu.ac.

(2) Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

REGULATIONS

23PHD 1.0. TITLE AND DURATION OF THE PROGRAMME

23PHD 1.1. The Programme of study, which is a Research Programme, shall be called the Doctor of Philosophy degree, abbreviated as Ph.D., followed by specialization indicated within brackets.

23PHD 1.2. The duration of the Programme for Ph.D. degree:

(1) Ph.D. programme shall be for a minimum duration of three (03) years for Full-Time and four (04) years for Part-Time, including course work, and a maximum duration of six (06) years for all from the date of admission to the Ph.D. programme.

(2) Ph.D. Integrated Full-Time programme shall be for a minimum duration of five years (05) (eg: M.Tech./M.Sc.(Engg.) with Ph.D)

(3) Provided, in exceptional circumstances, the University, on the recommendation of the RAC and approval of the Vice Chancellor, may extend the duration of the Programme, for a maximum period of another two (2) years. Provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

(4) The Research Scholar shall also pay the stipulated fee as fixed by the University for the extended period. If the Research Scholar fails to submit his/her thesis within the extended period, their Ph.D. registration shall lapse automatically.

(5) Provided further that, female Research Scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

(6) Female Research Scholars may be provided Maternity Leave/ Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

23PHD 1.3. Annual Academic Calendar

The annual academic calendar of events in respect of the Programme of study approved by the University, shall be notified at least a month before the commencement of each academic year. It is mandatory for Research Scholars/ Research Supervisors/Principals to strictly adhere to the Academic Calendar for completion of academic activities. Academic Calendar shall be displayed on the Academic Office homepage of the University website.

23PHD 2.0. ELIGIBILITY FOR ADMISSION

(1) The Ph.D. Programme shall be offered under two categories, Full-Time and Part-Time, in the University departments, it's constituent college, affiliated colleges and Research Centres at other Institutes/ Industries.

Provided that the approved Research Centres, Faculty of Studies and the Research Supervisors in the concerned Faculty are availabe.

(2) Students registered for M.Sc.(Engg.) by Research/M.Tech./M.Arch, are eligible to upgrade their registration to Ph.D. programme as per 23PHD 2.1, as applicable based on their performance on a case by case basis.Eligibility conditions for admission shall

be as given below.

23PHD 2.1. Minimum Qualifications to be Satisfied

The minimum qualification criteria for admission to the Ph.D. programme in different Faculties shall be as follows:

23PHD 2.1.1. Faculty of Engineering

(1) The Candidates shall possess a Master's Degree in Engineering/ Technology or an equivalent Degree or M.S. (Research) Degree from the University or any other HEI recognized by the University, with a minimum CGPA of 6.75 out of 10 or 60% aggregate marks at either the Bachelor's or the Master's Degree.

(2) The candidates pursuing M. Tech. Degree at the University who have successfully completed the prescribed coursework in the first three semesters of study with outstanding merit of either a minimum CGPA of 7.75 out of 10 or 70 % aggregate marks and published research papers in refereed journals or filed/obtained patents shall be eligible for up-gradation to the Ph.D. Integrated Degree Programme, subject to approval by the Admissions Committee.

(3) The candidates pursuing M.Sc.(Engg.) by Research Degree at the University who have successfully completed the prescribed coursework in the first two semesters of study with outstanding merit of either a minimum CGPA of 7.75 out of 10 or 70% aggregate marks and published research papers in refereed journals or filed/obtained patents shall be eligible for up-gradation to the Ph.D. Integrated degree programme, subject to approval by the Admissions Committee.

23PHD 2.1.2. Faculty of Management

The Candidates shall possess a regular mode PG Degree in MBA or equivalent Degree from a recognized University with a minimum CGPA of 6.75 out of 10 or 60% aggregate marks at the Master's Degree.

23PHD 2.1.3. Faculty of Applied Science

(1) The Candidates shall possess a regular mode M.Sc. Degree in Physics, Chemistry, Mathematics and Geology or MCA or PG degree in such other allied disciplines, recognized by the University with a minimum CGPA of 6.75 out of 10 or 60 % aggregate marks at either the Bachelor's or the Master's Degree.

(2) Candidates completing one year (Two semester) Master's degree programme after a Four year (Eight semester) Bachelor's degree programme or a Two year (Four semester) Master's degree programme after a 3 year bachelor's degree programme or qualifications declared equivalent to the Master's degree by the corresponding statutory regulatory body, in the related specialization, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

23PHD 2.1.4. Faculty of Architecture

(1) Candidates with PG Degree:

The Candidates shall possess Master's Degree in Architecture/ allied specialization or equivalent recognized by the University, with a minimum CGPA of 6.75 out of 10 or 60% aggregate marks at either the Bachelor's or Master's Degree in the respective discipline.

(2) Candidates with UG Degree:

The Candidates possessing Bachelor's Degree in Architecture or equivalent recognized by the University, with 10 years of experience in teaching/research/ professional practice in Architecture shall also be eligible for admission, subject to approval by the Admissions Committee.

(3) The candidates pursuing M. Arch. Degree at the University who have successfully completed the prescribed coursework in the first three semesters of study with outstanding merit having either a minimum CGPA of 7.75 out of 10 or 70 % aggregate marks and demonstrated good research aptitude shall be eligible for up-gradation to the Ph.D. Integrated Degree Programme, subject to approval by the Admissions Committee.

23PHD 2.1.5. Programme in Interdisciplinary Subject Areas

The Candidates desirous of pursuing Ph.D. in interdisciplinary subject areas shall fulfill the following eligibility requirements:

(1) The Candidate shall possess the Master's Degree in appropriate branch/ subject/ discipline recognized by the University, with a minimum CGPA of 6.75 out of 10 or 60% aggregate marks.

(2) For interdisciplinary Research work, Degree shall be awarded in the Faculty in which the Candidate has been permitted to register for the Ph.D. programme by the Admissions Committee.

23PHD 2.1.6. Relaxation of Percentage of Marks for Admission

(1) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a Point scale wherever the grading system is followed.

(2) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

Provided that a candidate who has completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited

by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

23PHD 2.2. Full-Time Ph.D. Programme

(1) Candidates, who are not employed and Candidates who are sponsored/deputed are eligible for admission to Full time Ph.D. programme.

(2) Candidates who are admitted to Full-Time Ph.D. programme shall not be allowed to take up any employment during the period of the programme. However, they are eligible receive Scholarship/ fellowship/ stipend/ assistantship, if any, with an intimation to the Registrar.

(3) Candidates admitted under ADF/QIP /FIP shall be permitted to pursue Ph.D. research only on full time basis. Such candidates shall produce NOC from their Employer along with the study leave sanction letter, for a minimum period of three years with full salary.

23PHD 2.3. Part-Time Ph.D. Programme

(1) Ph.D. programme through part-time mode shall be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

(2) In-service Candidates having a minimum professional experience of one year after their PG Degree and working in any Engineering College/ Polytechnic/ University/ Deemed to be University (recognized / accredited by appropriate bodies in India) or Research Staff of Public /Private /Corporate Organizations shall be eligible to pursue Ph.D. research on a Part- Time basis.

(3) The candidate shall submit to the University a "No Objection Certificate" for a Part-Time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

(i) The candidate is permitted to pursue studies on a Part-Time basis.

(ii) His/her official duties permit him/her to devote sufficient time for research.

(iii) If required, he/she shall be relieved from the duty to complete the course work.

(4) Not withstanding anything contained in these Regulations or any other law, for the time being in force, the University shall not permit conduct of Ph.D. programmes through distance and/or online mode.

(5) **Mandatory Residence Period:** All Part-Time Research Scholars shall put in a minimum of fifteen (15) days of residence period twice a year at his/ her Research Center before every review of the RAC till the submission of the final Synopsis covering all the chapters of the Thesis.

23PHD 2.4. Admission of International Students to Ph.D. Programme

(1) Each supervisor can guide upto two international research scholars on a supernumerary basis over and above the permitted number of Research scholars as specified in Section 23PHD 5.3(5).

(2) The University may decide the selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/ regulatory bodies concerned from time to time.

(3) NRI/FN/PIO Candidates shall be eligible for admission to Full-Time Ph.D. research programme. However, the Candidates shall have passed the UG / PG programmes in the appropriate branch from a University recognized/accredited by approved bodies in India with medium of instruction in English or qualified in TOEFL/ELTS, or equivalent and be able to communicate in English and submit the Thesis in English language only.

(4) Foreign Nationals shall hold valid passport/visa, clearance from MHRD and other documents as mandated by the GOI throughout their studentship at the University.

(5) Any foreign University Degree holders, either in UG or PG, are required to submit AIU equivalence Certificate.

23PHD 2.5. Conversion of CGPA to percentage marks

The University shall consider the following expression for undergraduate and postgraduate programmes:

a) % Marks = CGPA x 10, In case of linear Grading Scheme

b) % Marks = (CGPA – 0.75) x 10, for other Grading Schemes

In the case of linear Grading scheme, Letter Grades O, A+, A, B+, B, C, P are assigned Grade Points 10, 9, 8, 7, 6, 5, 4 respectively when the % of Marks Secured corresponds to 90-100, 80-89, 70-79, 60-69, 55-59, 50-54, and 40-49.

23PHD 3.0. MINIMUM STANDARDS AND PROCEDURE

The University Regulations for award of Ph.D. degree comply to the standards specified by the UGC and the procedure is enumerated below:

(1) The candidates who satisfy the eligibility criteria specified in 23PHD 2.0 seeking admission to Ph.D. programme of the University, shall be admitted based on the qualifying examination marks, written entrance test and interview, subjected to vacancy notified and availability of eligible and suitable Research Supervisors at the Research Centers.

(2) The Research Scholars provisionally registered for Ph.D. Programme shall be allotted suitable Research Supervisor/ Co-Supervisors as per 23PHD 5.0.

(3) The Research Scholars shall register for requisite number of courses as per 23PHD 6.0. and complete the course work within first two years of provisional admission.

(4) The course work shall be treated as pre-requisite for starting research work. On successful completion of the specified course work and earning the required number of credits, the provisional registration of the research scholar shall be confirmed for pursuing research further.

(5) Upon confirmation of Registration, the Research Scholar shall be required to undertake research work under an approved Research Supervisor. The Research Supervisor shall offer requisite guidance and continuously monitor their progress to satisfy the Regulations specified in 23PHD 7.0.

(6) The Research Scholar shall produce a draft thesis covering the processes and outcome of research within a reasonable time, as stipulated under the Regulations and submit the same to the University for adjudication.

(7) Assessment of research carried out by a Research Scholar leading to partial fulfillment for the award of Ph.D. degree, in the form of thesis, publication of research papers and any other similar work, shall conform to the normally accepted academic integrity and originality observed in various relevant processes adopted by University under 23PHD 8.0.

(8) On favorable adjudication of the thesis and successful completion of the final viva-voce Examination by the Research Scholar, the Ph.D. Degree completion Notification is issued by the University as per as per 23PHD 9.0, after obtaining confirmation that all the other required conditions for the award of the degree have been satisfied.

23PHD 3.1. Various Committees and Boards

As and when required, required committees and Boards shall be constituted to oversee the selection of applicants, allocation of Research Supervisors, assure the Quality of Research etc. for effective and transparent functioning of research at the University.
The University shall specifically constitute the following Committees and Boards for monitoring the Research Programmes:

(1) Research Policy Apex Committee (Common to all Research Programmes)
(2) Admissions Committee (Common to all Research Programmes)
(3) Research Quality Assurance Committee (Common to all Research Programmes)
(4) Research Advisory Committee
(5) Board of Examiners for final Viva –Voce examination
(6) Expert Committee and such other Committees/ Boards, as may be required.

The composition, duties and responsibilities of the Committees and Boards shall be as specified below.

23PHD 3.2. Research Policy Apex Committee (RPAC)

The composition of Research Policy Apex Committee:

(1) The Vice Chancellor	– Chairman
(2) Nominee of the Executive Council	– Member
(3) Nominee of the Academic Senate	– Member
(4) One expert from R & D from Industry	– Member
(5) Dean	– Member
(6) Registrar (Evaluation)	– Member
(7) Registrar	– Member Secretary

23PHD 3.2.1. The Research Policy Apex Committee shall have scope as follows:

(1) Lay down the policy relating to Research Programmes from time to time.
(2) Resolve issues raised by the Admissions Committee, Research Advisory Committee, Research Quality Assurance Committee, Registrar, and Registrar (Evaluation).
(3) Any other matter pertaining to Research Programmes.

The tenure of the Committee shall be One year. The Committee may meet as often as required but at least one meeting in an academic year.

23PHD 3.3. Admissions Committee (ADC)

The Admission Committee shall plan, supervise the admission process, and select the applicants to the extent specified in these Regulations.

The composition of Admissions Committee:

(1) Vice Chancellor – Chairman
(2) Dean of the Faculty. – Member
(3) Nominee of the Executive Council – Member
(4) Nominee of the Academic Senate – Member
(5) Registrar (Evaluation) – Member
(6) Registrar – Member Secretary
(7) Director, R &D, VTU – Member Convenor

If required, the Vice Chancellor shall nominate additional members.

23PHD 3.3.1. The Admissions Committee shall be responsible for,

(1) Identification and notification of intake to Research Programmes.
(2) Scrutinizing the application of the Candidates to determine their eligibility, including those who are eligible for exemption from the Visvesvaraya Technological University – Eligibility Test for Research (VTU-ETR).
(3) Organizing the eligibility/ entrance test for admission to Research Programmes.
(4) Organizing evaluation of the answer scripts (OMR sheets).
(5) Preparation of the merit- list(s) of Candidates based on the VTU-ETR score in percentage format.
(6) Deciding on the number of Candidates from the merit list(s) to be called for pre-registration interview.
(7) Conducting pre-registration interview for such short listed Candidates.
(8) The implementation of Reservation Policy in the admission process.
(9) Conducting such other tasks connected with the admission of the Candidates for the Research Programmes of the University, recognized Research Centers and Colleges.
(10) Finalize the list of candidates to be admitted for the Research Programmes as per these Regulations.

The tenure of the Committee shall be one year. The Committee may meet as often as required with clear agenda.

23PHD 3.4. Research Advisory Committee (RAC)

There shall be a Research Advisory Committee for each Research scholar admitted by the University to advise and regularly monitor the progress to ensure that the candidates produce quality research and complete the research work within the stipulated period.

23PHD 3.4.1. The composition of Research Advisory Committee:

(1) Principal of the College under VTU/ Chairperson of the University Department/ Director, Principal or Dean of Architecture College or School / Head or in charge Scientist of the Research Center located at State, Central, Private, Corporate Organizations/ Research laboratories/ Institutions and Industries. – **Chairperson**

(2) Head of the Department of the VTU affiliated College or Faculty of Studies/ Head or in charge Scientist of Research Centers located at State, Central, Private, Corporate Organizations/ Research laboratories/ Institutions and Industries/ Director or Nomineeof the Vice Chancellor for the University Department – **Member**

(3) An expert in the same domain of the Research Scholar, nominated by the Vice Chancellor as per Section 23PHD 3.4.1.1.(3) – **Member**

(4) Research Supervisor – **Member Convener**

(5) Co-Supervisor (if any) – **Special Invitee**

23PHD 3.4.1.1. Appointment of RAC Members:

(1) The RAC constituted for each Scholar shall have members possessing Ph.D. Degree in the relevant field.

(2) However, the condition under (1) above, is not applicable for persons working as Head or in charge of Research Centers located at State, Central, Private, Corporate Organizations/ Research laboratories/ Institutions and Industries.

(3) (a) The chairperson of the RAC, in consultation with the Research Supervisor (s), shall submit names of four domain experts to the Registrar for approval by Vice Chancellor. Out of the four domain experts, two shall be from VTU affiliated Colleges/ University Departments and the other two shall be from IISc, IITs, IIITs, IIMs, NITs, Universities belonging to State and Central Governments, and reputed Research Organizations/ Research Institutes/ Industries within the country.

(b) The Vice Chancellor, or his Nominee

(i) Shall nominate one from the above list and an alternate standby.

(ii) Can also set aside the proposed list of experts, to appoint alternate experts.

(c) In case, any member being nominated to RAC under sections 23PHD3.4.1(1) or (2) happens to be a Research Supervisor/ Co – Supervisor of the Scholar, and any member being nominated comes under both the clauses 3.4.1(1) and (2), then, the Vice Chancellor shall appoint an alternate Chairperson/Member for RAC by selecting one of the members from the panel, prepared under clause (a) above.

(d) In case, the Head of the Department of a College or Faculty of Studies/University Department is not satisfying 23PHD 3.4.1.1(1), the Vice Chancellor shall appoint an alternate Member for RAC by selecting one of the members from a panel of four domain experts (external to the College) submitted, to the Registrar, by the Chairperson of the RAC.

(4) The members shall serve the RAC, provided they have no close relatives or spouse registered in that Research Center.

(5) The Vice Chancellor shall appoint alternate external domain expert on the RAC after

receiving the names of additional experts from the Chairperson of the RAC in case the domain expert is not responsive to attend the meetings or request the University to be relieved.

(6) All the expenses incurred towards the functioning of the RAC shall be met by the concerned Institution where the Research Center is located.

(7) The quorum for the meeting shall be three members with the attendance of expert member being compulsory.

23PHD 3.4.2. Scope of Research Advisory Committee

(1) The RAC shall be responsible to guide, review and monitor the progress of the Scholars pursuing Research programme starting from commencement of the programme until submission of the Thesis.

(2) Advise the Research Scholars on selection of proper subject domain.

(3) The RAC shall review the research proposal and approve the topic of research.

(4) Guide the Research scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to register.

(5) Recommend Transfer/equivalence of courses to register online/offline for coursework.

(6) To recommend extension of the duration of research period based on the progress.

(7) Examine and decide on the trans-disciplinary area of research.

(8) Approve topic specific course content submitted by the Research Supervisor.

(9) The RAC shall meet as often as required, but at least once in every six months to oversee the progress of the Scholar for evaluation and further guidance. The half yearly progress reports shall be uploaded by the Research Supervisor at, https://jnanashodha.vtu.ac.in

(10) Each semester, a Research scholar shall appear before the RAC to make a presentation and submit a brief report on the progress of work for evaluation and further guidance. The RAC shall submit its recommendations along with a copy of Research scholar's progress report to the University. A copy of such recommendations shall also be provided to the Research scholar.

(11) Advise the Research Scholars to make conference presentations and research publications.

(12) Resolve any conflict between the Research Supervisor and the Research Scholar.

(13) Recommend the pre-thesis submission colloquium and to accord permission for the submission of the thesis, and

(14) In case the progress of the Research Scholar is not satisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research Scholar fails to implement these corrective measures, the RAC may recommend with specific reasons the cancellation of registration of the Research Scholar.

(15) The RAC shall forward its recommendations to the Registrar, regarding the cancellation of the registration of the Research Scholar, the change of Research Supervisor/Co-Supervisor, use of other Research Center, change in Research area and topic and other matters related with the Research Programme. A copy of the same

shall also be sent to the Registrar (Evaluation).

(16) The decision of the RAC, if it is contrary to the provisions of these regulations, or otherwise, may be reviewed and necessary action taken by the Vice Chancellor.

(17) The Registrar shall arrange to place the recommendations of the RAC before the Vice Chancellor for its approval.

(18) Carry out such other duties as the Vice Chancellor may entrust from time to time.

23PHD 3.5. Research Quality Assurance Committee (RQAC)

RQAC is a Committee constituted by the Vice Chancellor for recognizing Research Supervisors from the various Faculty of Studies/Disciplines of the University or outside, as well as to ensure overall quality research and substantial research outcomes.

23PHD 3.5.1. RQAC Composition

The RQAC shall have the following composition:

(1) Vice Chancellor – Chairperson
(2) Deans of Respective Faculties. – Members
(3) One External Expert, nominated by the Vice Chancellor – Member
(4) One Head of the Research Centre or his nominee (If applicable) – Member
(5) One Internal Expert, nominated by the Vice Chancellor (optional) – Special Invitee
(6) Registrar (Evaluation) – Member
(7) Registrar. – Member Secretary
(8) Director, Research and Development, VTU – Member Convener

23PHD 3.5.2. The Scope of the Committee

(1) Approve eligible faculty, eminent scholars, scientists, or academicians from other Institutions either working or retired, as Research Supervisors of the University, as per Section 23PHD 5.0 of the Regulation.

(2) Ensure overall quality of the Research Process through interventions, as deemed fit. Interventions may be to,

- (i) Update the Regulations, as and when required,
- (ii) Review written entrance test question papers for quality and context,
- (iii) Review and bring in effectiveness of RAC to enable scholars for timely submission of thesis,
- (iv) Periodically obtain the feedback from the Research Supervisors and Research Scholars to identify the hurdles, if any, and bring in improvements in good practices,
- (v) Review the thesis title for correctness, area of research for relevance in the present-day context and format, subject coverage & language of thesis by intervening at appropriate stages.

(3) The RQAC shall act as an advisory body to the Vice Chancellor, with supervisory powers to ensure quality of publications and research work, but the decision of the Research Supervisor, the Dean and the RAC as specified under this regulation shall be final.

However, the Vice Chancellor in his wisdom, reserves the right to accept or defer the recommendations of the RQAC and his decision is binding to all concerned.

23PHD 3.6. Board of Examiners for final Viva –Voce Examination

(1) The Board of Examiners for final Viva –Voce examination shall be constituted by the Vice Chancellor for each Research Scholar soon after the receipt of favourable reports from all the Adjudicators. The Board shall have the following composition:

(i) Principal of the College affiliated to VTU/Chairperson of University Department/ Director, Principal or Dean (Architecture)/ Head or in charge Person of the Research Center located at State, Central, Private, Corporate Organizations/ Research laboratories/ Organizations/ Institutions. – **Ex-officio Chairperson**

(ii) Research Supervisor – **Member Convenor**

(iii) Co- Supervisor (s), if any – **Member**

(iv) Identified Adjudicator – **Member**

(2) The Board shall conduct the final viva-voce of the Research Scholar defending his/her Ph.D. Thesis.

(3) The board shall submit its detailed report in the prescribed format to the Registrar (Evaluation).

23PHD 3.7. Other Committees and Boards

(1) The Vice Chancellor may constitute any other necessary Committees/ Boards to redress difficulties that any of the Research Scholars may encounter during their regular functioning. The composition of the committee(s) may be as deemed necessary.

(2) The duties/responsibilities and other details of these Committees/ Boards shall be notified by the University as and when they are constituted.

23PHD 3.8. Faculty of Studies

(1) The University offers Degree in Doctor of Philosophy (Ph.D.) in the following Faculties and Specializations, including interdisciplinary Research.

Faculty of Studies	Specialization*
1) Faculty of Civil Engineering Sciences	(i) Civil Engineering (ii) Environmental Engineering (iii) Geology
2) Faculty of Mechanical Engineering Sciences	(i) Mechanical Engineering (ii) Industrial and Production Engineering (iii) Automobile Engineering (iv) Industrial Engineering and Management (v) Manufacturing Science and Engineering
3) Faculty of Electrical and Electronics Engineering Sciences	(i) Electrical and Electronics Engineering. (ii) Electronics and Communication Engg.

	(iii) Electronics and Telecommunication Engineering (iv) Electronics and Instrumentation Engg.
4) Faculty of Computer and Information Sciences	(v) Computer Science and Engineering (vi) Information Science and Engineering
5) Faculty of Technology	(i) Chemical Engineering (ii) Polymer Science (iii) Silk/Textile Technology (iv) Biotechnology (v) Food Technology. (vi) Bio-Medical Engineering (vii) Medical Electronics Engineering (viii) Mining Engineering (ix) Marine Engineering (x) Mechatronics Engineering (xi) Aerospace Engineering (xii) Nanotechnology
6) Faculty of Management	(i) Management
7) Faculty of Applied Sciences	(i) Physics (ii) Chemistry (iii) Mathematics (iv) Computer Applications
8) Faculty of Architecture	(i) Architecture
**The Admissions Committee shall recommend appropriate faculty for the award of Ph.D. Degree based on the profile of the Scholar, the specialization of the Research Supervisor, Research topic, etc. However, the above specializations are indicative only. This shall equally be applicable to cases belonging to other Faculties and specialization in unforeseen circumstances.*	

(2) The Degree shall be awarded in the Faculty of Studies and Specializations in which the Candidate registers for the Ph.D. programme with the approval of Admissions Committee.

23PHD 4.0. ADMISSION PROCESS

The admission to the Ph.D. Programme shall be as per the following Regulations:

23PHD 4.1. 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/ regulatory bodies concerned, and taking into account the reservation policy of the Central/State Government notified from time to time.

(1) Admission to the Ph.D. programme shall be made using the following methods:

i. University may admit students who qualify for fellowship/scholarship in UGC-

NET/ UGC-CSIR NET/GATE/CEED and similar National level tests based on an interview,

And/ Or

ii. University shall admit students through an Entrance Test, called "Visvesvaraya Technological University – Eligibility Test for Research (VTU-ETR)", conducted by the University to determine the candidate's aptitude for research.

(2) Universities and Colleges/Institutions which are eligible to conduct Ph.D. programmes, shall:

i. Notify a prospectus well in advance on the institution's website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

ii. Adhere to the National/State-level reservation policy, as applicable.

(3) The University shall maintain a list of Research Supervisors (specifying the name of the Supervisor, his or her designation, and the department/school/centre), along with the details of Research Scholars (specifying the name of the registered Research Scholar, the topic of his/her research and the date of admission) admitted through them, on the website of the University and update this list at the beginning of every academic year.

(4) Candidates desirous of upgrading their M. Tech. / M.Sc.(Engg.) by Research/ M. Arch. registration to Integrated Ph.D. Degree programme shall submit their research proposal to the University immediately after the announcement of the third Semester result, which shall be the basis to determine their research capabilities by the Admissions Committee and shortlist them to include in the admission process.

23PHD 4.2. Notification for Admission

(1) The admission to Ph.D. programmes shall be made twice in an academic year by the University.

(2) The University shall call for Applications for Admissions on its website and through advertisement in at least two National newspapers, of which at least one shall be in the regional language, covering:

(i) The procedure to be followed for Ph.D. admissions,
(ii) Eligibility requirements, i.e., 23PHD 2.0 to be satisfied for getting admitted,
(iii) Number of seats to be filled at each University approved Research Center,
(iv) VTU-ETR details: Dates, Centers, Syllabi etc., and how to apply,
(v) Calendar for pre-registration interview and other events,
(vi) Information on available Scholarships, assistantships, if any.

23PHD 4.2.1. Submission of Applications

Such Candidates satisfying the eligibility criteria specified in 23PHD 2.0 and desirous of taking admission to Ph.D. Programme shall submit their applications via the web link https://jnanashodha.vtu.ac.in for VTU–ETR.

23PHD 4.2.2. Exemption from VTU-ETR

(1) The following categories of Candidates shall be exempted from appearing at VTU-ETR with the prior approval of the Admissions Committee.
   (i) Full-time NRI/FN/PIO Candidates.
   (ii) Candidates selected under ADF/QIP / FIP.
   (iii) Candidates qualified in the UGC-NET(including JRF)/UGC-CSIR NET (including JRF) / SLET / GATE/ CAT or other similar National tests and having qualifying percentile/percentage scores in their respective validity periods.
   (iv) Candidates with M.Phil. Degree or equivalent as recognized by the University.
   (v) Candidates with valid VTU – ETR score.
   (vi) Candidates shortlisted under 23PHD 4.1(4).

(2) All eligible Candidates not covered under 23PHD 4.2.2(1) shall appear for the VTU-ETR. The percent score obtained by the Candidates in the VTU-ETR shall form the basis for preparing the merit list of successful Candidates which shall be valid for two academic years only.

23PHD 4.2.3. Setting Question Papers

(1) VTU – ETR question papers shall be set by the identified examiners appointed for this purpose by the Registrar and approved by Admissions Committee.
(2) The question paper shall be set for 100 marks.
(3) The question paper shall have multiple choice questions (MCQs).
(4) Board of Examiners of the University shall assist Registrar in obtaining the question papers set and scrutinized.
(5) Question paper setters and evaluators shall have Ph.D. Degree in the relevant field.

23PHD 4.2.4. Conduct of Examination, Evaluation and Preparing Merit List

(1) VTU-ETR shall be conducted by the University on a scheduled date and time at notified centers.
(2) The Entrance Test syllabus shall cover 50% content on research methodology, and the remaining 50% be subject- specific.
(3) All the Students who have secured 50% marks in the entrance test are eligible to be called for the interview. However, the University reserves it right to decide on the number of eligible students to be called for the interview based on the total number of Ph.D. seats available.
(4) A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the UGC from time to time.
(5) Eligibility of Candidates for Pre-Registration Interview shall be as per the qualifying marks based on the scaled down marks of 70.
(6) The qualifying marks of the VTU – ETR shall be 50 % of the 70 marks in the case of General category and 45 % of the 70 marks in the case of SC/ST/OBC (Non-Creamy layers)/ Differently- abled category.

(7) Without disclosing the secured marks of the Candidates, the list of Candidates having a VTU-ETR score of ≥ 35 (50 % of the 70 marks) in the case of General category and ≥ 31 (45 % of the 70 marks) in the case of SC/ST/OBC (Non-Creamy layers)/Differently-abled category shall be announced on University Website.

23PHD 4.3. Submission of Application for Ph.D. Programme

(1) All eligible Candidates covered under 23PHD 4.2.2 (1) and those who have VTU – ETR qualified marks as per 23PHD 4.2.4 (6) shall upload,
   (i) the research proposal,
   (ii) preferably three names of Research Supervisors and Research Co- Supervisors (if required), based on the vacancy position available with each Research Supervisor and Research Co- Supervisor to accommodate fresh Scholars for guidance, as per the Table 1 under 23PHD. 5.3(6), and other details to the University website using the web link https://jnanashodha.vtu.ac.in.

23PHD 4.3.1. Pre-Registration Interview

(1) The scope of Pre- Registration interview shall be to judge,
   (i) The Candidate's knowledge and experience in the subject area concerned and his/her preparations to undertake the proposed research work.
   (ii) Whether the research work can be suitably undertaken at the Institution/College.
   (iii) Whether the proposed area of research can contribute to new/additional knowledge.

(2) The Admissions Committee shall arrange for the conduct of pre-registration interview, Faculty wise, through Expert Committees.

(3) For this purpose, the Vice Chancellor shall constitute Expert Committee for each specialization of the faculty to which the Candidates will be considered for admission, based on the Admissions Committee recommendation.

(4) The Expert Committee meetings for pre-registration interview shall be held on date/time and at venue(s) as decided by the Admissions Committee.
The same shall be notified, by the Registrar, to the Expert Committee(s) and shall be published on University website for the attention of Candidates concerned.

(5) The Pre-Registration interview shall be conducted for a maximum of 30 marks.

23PHD 4.3.2. Pre-Registration Interview performance

(1) Qualified Candidates who have applied for Full-Time/ Part–Time Ph.D. programme and called for Pre-Registration Interview shall present the research proposal (as per the Annexure-1) and answer questions raised by experts during Viva – Voce.

(2) The Expert Committee shall award the Pre-Registration interview marks, for the parameters specified in the University prescribed format (Annexure – 2) prepared for the purpose, and upload the final marks of the Candidates to the University website via the web link https://jnanashodha.vtu.ac.in.

23PHD 4.3.3. Merit Lists after Pre-Registration Interview

(1) The University shall prepare the merit list for the General Category and for all the Reserved Category Candidates, Faculty, and specialization wise, Research Center wise, as per format decided by the University.

(2) The University shall prepare two merit lists, one corresponding to those who have attended only the Pre-Registration Interview and the other corresponding to those who have qualified through the VTU – ETR marks and attended the Pre-Registration Interview.

(3) Merit list based on the pre – Registration Interview marks shall be for
   (i) the Candidates under ADF/QIP / FIP/ NRI/ FN/ PIO.
   (ii) the Candidates qualified in the UGC-NET (including JRF)/UGC-CSIR NET (includingJRF)/SLET/GATE/CAT or other similar national tests and having qualifying scores in their respective validity periods and Candidates with M.Phil. Degree.

(4) The merit list corresponding to those who have qualified through VTU – ETR marks (present and the previous) and attended the Pre-Registration Interview shall be decided by considering the sum of qualified VTU-ETR marks scaled down to 70 marks and the marks secured in the Pre- Registration Interview.
   Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70% for the entrance test and 30 % for the performance in the interview/ viva- voce shall be given.

(5) For cases where Candidates have same qualified marks, the tie shall be resolved by applying the following criteria one after the other till the tie is resolved.
   (i) First criterion: The Candidates with more marks in the VTU – ETR.
   (ii) Second criterion: Percentage marks/ CGPA at Postgraduate Degree.
   (iii) Third criterion: Percentage marks/ CGPA at Undergraduate Degree.
   (iv) Fourth criterion: Date of Birth (elder shall be placed on the top).
   In unforeseen situations, the decision of the Admissions Committee shall be considered final.

(6) On finalization of the merit lists by the Admissions Committee, after the approval of the Vice Chancellor, the Registrar shall notify the same on the University website.

23PHD 4.3.4. Policy for filling the vacancy positions.

(1) Following the reservation policy and the order of merit, the University shall allot the Research Supervisor/Co-Supervisor/ Research Center and decide the Faculty and the Specialization under which the Ph.D. Degree is to be awarded.

(2) Filling of vacancy positions by allotment of Research Supervisor(s) shall be in the following order for Candidates who are exempted from VTU – ETR but appeared for Pre-Registration interview.
   (i) Candidates under ADF/QIP/FIP/ NRI /FN/PIO.
   (ii) Candidates who have cleared national eligibility tests and those who are M.Phil. qualified.

The allotment in the above two cases shall be in the order of merit based on the Pre-Registration interview marks.

(3) The allotment of Research Supervisor/s for Candidates who are qualified in VTU – ETR (present and the previous) shall be based on the sum of qualified VTU – ETR marks and Pre- Registration Interview marks.

23PHD 4.3.5. Announcement of merit list for Admission

(1) The Admissions Committee shall forward the list of Candidates to be admitted to the Ph.D. programme along with the names of the Research Supervisor and Research Co - Supervisor (if any), Address of the Research Center, Faculty and Specialization (if any), to the Registrar.

(2) The Registrar shall communicate the list of selected Candidates to be admitted to the programme to each Research Center and publish the same on University website with aninstruction that the Candidates shall get admitted to the Ph.D. programme within 15 days from the date ('first last date') of publication of the list.

(3) Candidates not completing the process of admission, for any reason on or before the 'first last date' prescribed by the University, shall be entitled for an extension period of seven days ('second last date') subject to a penal fee of Rs.1,000/- payable to University.

(4) In case of any vacancy available after the last day of extended period of seven days ('second last date') for admission to the Ph.D. programme, the merit/waiting list shall be operated by the University and the admission shall be closed within 15 days ('third last date') form the 'second last date' with no further extension.

(5) In case, the seats allotted for SC/ST/OBC (Non Creamy layer)/Differently-Abled categories remain unfilled, the University shall launch a special admission drive for the said category within one month from the last day of 'second last date' for admission to Ph.D. programme.

(6) Candidates having grievance/s regarding allotment of Research Supervisor/ Research Co- Supervisor, Faculty under which the Ph.D. Degree shall be awarded may appeal with valid reasons to the Admissions Committee for consideration, through Registrar. The decision of the Admissions committee shall be final and binding on all concerned.

(7) No change of approved Faculty of Studies, selected by candidates listed under Section 23PHD 3.8, shall be permitted post Provisional Admission.

23PHD 4.4. Post Provisional Admission Activities

(1) On reporting to the Department/Research Center and upon successful interaction with the allotted Research Supervisor(s), each Scholar shall submit provisional Ph.D. registration acceptance, Research Proposal/Outline in the University prescribed format and University fees paid receipt for the provisional Ph.D. registration to the Registrar through the Research Centerconcerned for the purpose of provisional registration to the Ph.D. programme. Completing this formality within a specified time shall be mandatory for all the Research Scholars.

(2) The provisional registration of all the Scholars shall commence from the same date which shall be the next working day of last date prescribed by the University for closing the admission to the Research Programme.

(3) Principal of the College under VTU/ Chairperson of the University Department/ Director, Principal or Dean of Architecture College or School / Head or in charge Person of the Research Center located at State, Central, Private, Corporate Organizations/ Research laboratories/ Research Organizations/ Research Institutions shall submit to the Registrar the list of names, decided in consultation with the Research Supervisor(s), for constituting the RAC, as per 23PHD 3.4.1.1(3).

(4) Upon receiving the research proposal / outline, the panel of domain experts, proposed names of other members of the RAC and fees paid receipt for the University prescribed amount, the Vice Chancellor shall constitute the Research Advisory Committee as per 23PHD 3.4.1.

23PHD 5.0. ALLOCATION OF RESEARCH SUPERVISORS

Recognition of eligibile Research Supervisors, Co-Supervisors, Number of Research Scholars permissible per supervisor, allocation of Research Supervisor and if required, Research Co- Supervisor shall be done by the University following these Regulations.

23PHD 5.1. Eligibility for a Research Supervisor/ Co-Supervisor

(1) A full-time regular Faculty member working in a University approved Research Center located at University Department/ Constituent College/ affiliated College (Autonomous and Non-Autonomous)/ other Academic and Research Institutions and Scientist or Engineer working on regular basis in the University recognized research establishment or industry shall be eligible for recognition as Research Supervisor or Research Co-Supervisor, provided:

(i) He/she has Ph.D. Degree from a UGC recognized University in the relevant discipline (Engineering/Technology/ Physics, Chemistry, Mathematics and Geology/ Management Studies / Computer Applications/Architecture). A person with Ph.D. Degree from Foreign University shall submit an equivalence certificate obtained from Association of Indian Universities (AIU) for recognition as Research Supervisor/ Research Co-Supervisor.

(ii) He/she has a research experience of at least one academic year, after obtaining the provisional Ph.D. Degree.

(iii) He/she possess the Research publications to his/her credit as under:

a) **Professor Cadre:** Must have at least five research publications, of which one publication must be in a journal indexed under SCOPUS/SCI/WOS.

b) **Associate Professor Cadre:** Must have at least five research publications, of which one must be in a journal indexed under SCOPUS/SCI/WOS.

c) **Assistant Professor Cadre:** Must have at least three research publication of which one must be in a journal indexed under SCOPUS/SCI/ WOS.

Provided that in areas/disciplines where there is no, or only a limited number of

peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

(2) The University shall recognize the Faculty as a Research Supervisor at the Research Centre attached to the University or its constituent college or the affiliated colleges, where the faculty member is employed. Such recognized Research Supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.

(3) The Ph.D. degree shall not be awarded by the University for a candidate under the supervision of a faculty member who is not an employee of the University or its constituent college or its affiliated Colleges or other Research Centers which would be a violation of these Regulations.

(4) Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the Vice Chancellor.

(5) Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

(6) In case of interdisciplinary/ multidisciplinary research work, if required, a Co-Supervisor from outside the Department/ Faculty of Studies/ Research Centre/College/ University may be appointed.

(7) The Scientists employed in Central/ State Government research institutions, recognized as Research Centers by the University, possess qualifications certified as equivalent to that of Professor/Associate Professor/Assistant Professor by the University and if they fulfil the requirements specified in (1) above, shall be considered to be eligible Supervisors/ Co-supervisors.

(8) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Research Scholar who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 65 years.

23PHD 5.2. Procedure for Recognition as Research Supervisor/ Co - Supervisor

(1) The University shall invite applications, once in a year, on its website or by notification, from eligible faculty members, Scientists/Engineers and others as mentioned under 23PHD 5.1(1), for recognition as Research Supervisors/ Research Co-Supervisors.

(2) The prospective Research Supervisors/ Research Co-Supervisors shall enter the details in the VTU online format specified in the notification and submit a copy of the same, with all the necessary supporting documents to the Registrar.

(3) Acceptance or rejection of an application for Recognition as Research Supervisor/ Research Co-Supervisor shall be at the discretion of the University.

(4) The University has discretionary power of relaxing the eligibility conditions in case of deserving applicants having exceptionally good research profile with respect to number of patents filed/granted, research projects executed, grants received, etc.

(5) An Expert Committee under each Faculty, constituted by the Vice Chancellor shall scrutinize the applications received and recommend the names of the selected Research Scholars/ Research Co-Supervisors to the Registrar for necessary approval of Academic Senate and Executive Council.

(6) On approval by the University, each Research Supervisor/ Research Co-Supervisors shall receive an Office Order from the Registrar for having recognized him/her as a Research Supervisor/ Co-Supervisor.

(7) The list of Research Supervisors/ Co-Supervisors along with their research areas shall be updated periodically, notified to all the Research Centers, and widely publicized on the University website.

23PHD 5.3. Allotment of Candidates to Research Supervisors

The University shall strictly adhere to the following procedure while assigning Research Supervisors/ Co-Supervisors (if required) to the Candidates to be admitted at a Research Center.

(1) There shall be provision of allowing a Research Co-Supervisor in addition to Research Supervisor for a Research Scholar registered for the Ph.D. Degree at a Research Center.

(2) In the case of interdisciplinary subject area(s), a Research Scholar may have two Supervisors, of which one shall be designated as the Research Supervisor and the other as the Research Co- Supervisor.

(3) The Research Co-Supervisor shall be from the outside of the Department/ College/ Institution/Organization.

(4) Each Research Supervisor shall supervise/guide, either as a Supervisor or as a Co-Supervisor, a specified number of Scholars pursuing Ph.D./ M.S. (Research)/ Integrated Ph.D. programmes.

Thus, at a given point of time, the total number of Scholars registered under a Research Supervisor shall not be more than:

(i) Eight Scholars for a Professor/ Persons of Professor cadre working in University approved Research Centers.

(ii) Six Scholars for an Associate Professor/ Persons of Associate Professor cadre working in University approved Research Centers.

(iii) Four Scholars for an Assistant Professor/ Persons Assistant Professor cadre working in University approved Research Centers.

(5) At any point of time, the total number of Research Scholars under a Supervisor or a Co-supervisor, shall not exceed the number prescribed in Section (4) above, enforced along with Section (6) below, but excluding that permitted in Section 23PHD 2.4(1).

(6) Of the total number of Scholars permitted to be registered under a Research Supervisor as above, there shall be seats reserved for SC/ST/Category-1/specially-abled Scholars in each case as per the Reservation Policy of Government of Karnataka

(GOK).

The category wise distribution of Scholars shall be as indicated below in the Table – 1.

Table – 1
Allotment of Category wise Scholars to Research Supervisors of different cadre supervising/guiding as a Research Supervisor or Research Co-Supervisor.

Research Supervisor/ Research Co-Supervisor Cadre	Maximum number of Research Scholars permitted to be supervised /guided.(Research Scholars may be pursuing Ph.D./ M.S. (Research)/ Integrated Ph.D.)	General Merit Research Scholars	SC/ST/Cat -1 Scholars	Specially-abled or any other reserved category Scholars (i.e., IIA, IIB, IIIA and IIIB)	Foreign National Research Scholar/s *(Supernumerary)
Professor	08	04	02	02	**
Associate Professor	06	03	02	01	
Assistant Professor	04	02	01	01	
Scientists/Engineers	Allotment of Scholars shall be based on the concerned Organization's certified cadre equivalence of the Scientists/Engineers with respect to Professor/ Associate Professor/ Assistant Professor working in educational Institutions.				

** Each supervisor/co-supervisor can guide upto two international research scholars on a supernumerary basis over and above the permitted number of Research scholars as specified in Section 23PHD 5.3(5).

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

(8) The University shall follow the Reservation Policy of GOI/GOK as applicable from time to time, for the total number of Scholars allotted to Supervisors in an academic year.

(9) Allocation of Scholars (new or transferred under change of Research Supervisor/ Research Co-Supervisor) to Research Supervisor/Co-Supervisor during an academic year shall not be more than 25% of the maximum permitted allocation,–i.e., two Scholars for Professor cadre, two for Associate Professor cadre and one for Assistant Professor cadre, in compliance with the Section 23PHD 5.3(5).

(10) New Research Scholars shall not be assigned to Research Supervisors/Co-Supervisors who have less than three years of service left before the age of superannuation.

However, allotment shall be made to such Supervisors who will be attaining the

superannuation, provided the Institution where the Research Supervisor/ Co-Supervisor is working and submits an under taking indicating that the concerned Research Supervisor/ Research Co-Supervisor shall be continued till the candidate completes his programme.

(11) The Vice Chancellor shall have the power to allocate additional research scholars to Supervisors as per 23PHD 5.3(9) on case to case basis.

23PHD 5.4. Responsibilities of Research Supervisors

(1) No Research Supervisor/ Research Co-Supervisor shall supervise his/her close relative or spouse for Ph.D. Degree of the University.

(2) A Research Supervisor/ Research Co-Supervisor recognized by the University shall not be a Research Scholar concurrently under this University.

(3) The Research Supervisors and Co–Supervisors shall adhere to the provisions of

a) VTU (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations – 2023 and to the amendments notified from time to time.

b) UGC/AICTE norms notified from time to time.

(4) Whenever the Research Supervisors/Research Co - Supervisors change the place of working, they shall inform the same to the University and update the information along with the age of superannuation at the new place of working.

(5) In case, a Research Supervisor fails to report the change of working place to the Registrar,the University shall initiate action for withdrawal of his/her recognition as Research Supervisor.

(6) In case, the University allots Research Scholar/s in special circumstances without the consent of the Research Supervisors/ Co - Supervisors, the Supervisors shall accept the responsibility of supervising the Research Scholar/s.

(7) Every Research Supervisor/ Co - Supervisor shall supervise at least one Research Scholar in a continuous period of five years or demonstrate his research interest by publishing at least five papers in technical journals. In case, the Supervisor fails to supervise or publish as mentioned, approval as a Research Supervisor/ Co - Supervisor shall stand withdrawn. In such a case, fresh registration shall be sought if required by the faculty members/ Scientists/Engineers by following the procedure specified under Section 23PHD 5.2.

23PHD 6.0. CONFIRMATION OF REGISTRATION

The Research Scholars shall register for requisite number of courses to earn the minimum credits specified, undergo comprehensive via-voce, undertake open seminars, publish papers, and successfully complete pre-submission colloquium, after which they are permitted to submit synopsis and the final thesis. The Regulations covering confirmation of registration and the above procedures are enumerated below.

23PHD 6.1. Schedule of events after Provisional Registration

(1) After provisional registration, the Research Scholar shall complete the following four parts in sequence, namely,

Part-I: Coursework
Part-II: Comprehensive Viva-Voce
Part-III: Open Seminars, Mandatory Publication of papers
Part IV: Pre-Submission Colloquium, and Submission of Synopsis covering all the chapters of the Thesis and Submission of Thesis.

These shall be followed by Thesis evaluation and its defense by the Research Scholar at the end.

(2) The Coursework by all Full-Time and Part - Time Research Scholars shall be completed as prescribed under 23PHD 6.2.

(3) All the Ph.D. registrations made at the time of the admission shall be provisional and shall be confirmed only on the successful completion of both Part-I and Part-II.

23PHD 6.2. Programme Coursework (Part – I)

(1) The coursework shall be treated as pre-requisite for preparing the Research Scholars to start research towards their Ph.D. Degree.

(2) All the courses prescribed for the coursework (Part – I) shall be completed in not more than four consecutive coursework examinations conducted by the University from the date of provisional registration of the Research Scholar.

(3) The provisional registration of such Research Scholars who fail to satisfy the above criteria shall be withdrawn. Such names shall be recommended by the RAC and, on approval from the Vice Chancellor, the Registrar shall notify the cancellation of registration of such Research Scholars on University website and intimate the same to Research Supervisor(s), Research Center, and the concerned Research Scholars.

(4) The number of courses to be completed in different Faculties of Studies as the requirement of coursework shall be as per Annexure- 3.

(5) The credit requirement for completing the Ph.D. coursework is a minimum of 12 credits from four domain specific courses and 18 credits for six domain courses including 'Research and Publication Ethics' and 'Research Methodology' courses as per Annexure -3. The Research Scholars shall complete the required domain specific courses, 'Research and Publication Ethics' and 'Research Methodology' courses either online through NPTEL or at their Institutions as recommended by the RAC and approval of the University. Each NPTEL courses having Teaching-Learning for 12-16 weeks shall be considered as 4 credits, 10-12 weeks shall be considered as 3 credits and less than 10 weeks and more than 4 weeks shall be considered as 2 credits for the purpose of total credit computation.

(6) Those registering for courses through online shall submit NPTEL course completion certificates.

(7) Other than 'Research and Publication Ethics', the remaining relevant research area courses of advanced level shall be selected from the University notified groups (Group -1 to Group -6, approved by the concerned BoS, the AS and EC) in consultation with

the Research Supervisor and Co -Supervisor (if any) and with the approval of the RAC concerned.

(8) Courses prescribed for the Coursework shall be selected from different groups in such a way that there shall be only one course selected from a group.

(9) Apart from the prescribed courses under coursework, the RAC along with the Research Supervisor can propose one or two optional audit courses that are essential to the Research work. The Research Scholar shall be evaluated in the optional audit courses by the Research Supervisor himself.

(10) Based on the recommendations of the RAC, addressed to Registrar, any change of registered course/s for which the Research Scholar has not appeared for the University coursework examination, shall be permitted within the period of first four consecutive coursework examinations conducted by the University from date of the provisional registration of the Research Scholar.

No permission shall be accorded for change of course/s for which the Research Scholar has already appeared for the University examinations and unsuccessful in completing the course/s.

University shall conduct examinations for the courses registered by candidates for their coursework twice during every academic year.

(11) All Research Scholars, irrespective of discipline, shall be required to be trained in teaching/ education/ pedagogy/ writing related to their chosen Ph.D. subject during their doctoral period. They may also be assigned 4-6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluations.

(12) The University shall reserve its right to revise and notify the approved courses in the group(s) from time to time.

(13) Candidates admitted to the Integrated Ph.D. programme shall be exempted from all the coursework, provided they have already earned the required credits in the mandatory courses "Research Methodology" and "Research and Publication Ethics" in M.E./ M. Tech./ M.Sc.(Engg.) by Research/ M. Arch. Programmes; otherwise, they shall register and earn the required credits in "Research Methodology" and "Research and Publication Ethics" Courses.

23PHD 6.3. Teaching- Learning Process for Coursework

(1) Each Research Center shall make arrangements to conduct offline/online/blended classes for the courses of the coursework (except for 'Research and Publication Ethics'). All courses prescribed for the Ph.D. coursework shall be in conformity with the credit hour instructional requirement and assessment methods. For learning, the Research Scholars can also opt for the courses offered by VTU's e-Learning Center/ SWAYAM/ NPTEL, etc.

(2) (i) The University shall arrange the course on 'Research and Publication Ethics' (RPE) at one or more of its campuses as often as required and the provisionally registered Research Scholars shall mandatorily attend the course. The Research Scholars shall pay the prescribed University tuition fees before registering for the course.

(ii) The University examination in RPE shall be conducted along with the other coursework examinations.

(3) The Registrar shall notify the calendar regarding the coursework classes to be conducted by the Research Centers.

(4) Each course of the prescribed coursework (Part – I) shall be evaluated through an examination conducted by the University for a maximum mark of 100. The minimum marks for a pass in the University examination shall be 55 % of the maximum marks of the paper.

Letter Grade and corresponding Grade Points on a typical 10 – Point scale						
Letter Grade	**O**	**A+**	**A**	**B+**	**B**	**F**
	Outstanding	**Excellent**	**Very Good**	**Good**	**Average**	**Fail**
Grade Point	10	9	8	7	6	5
% of Marks Secured	90-100	80-89	70-79	60-69	55-59	Less than 55

(5) For assigning the grades to the marks secured in a course by Research Scholars, the following letter grades shall be used.

(6) A Research Scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and later submit his/her thesis.

(7) The University shall issue Grade Card to the Scholars every semester indicating the result for the registered courses.

(8) Not registering for any of the consecutive coursework examinations conducted by the University or absenting to an examination after registering for a course/s to appear in the examination, shall be considered as an attempt.

(9) The minimum attendance to be satisfied by a Research Scholar in a course shall be 75%. This shall be certified by the RAC in its half yearly report.

(10) In case the Research Scholar fails to satisfy the attendance requirement of any course(s), the Research Scholar shall have the opportunity to repeat the teaching –learning process subjected to the condition under Section 23PHD 6.2.(2) above.

(11) The Research Scholars shall submit the applications with the relevant examination fees to appear for the University Coursework Examination as and when notified by the University.

23PHD 6.4. Coursework Question Papers setting

(1) Coursework question papers shall be set by the identified examiners appointed for this purpose by the Registrar (Evaluation) with the support of concerned Chairperson, BOE.

(2) Each question paper shall be set for a maximum mark of 100 and it shall have the standard and pattern as prescribed for the Master's Degrees programmes of the University.

(3) The question paper setters and answer script valuators shall have Ph.D. Degree and expertise in the relevant field.

23PHD 6.5. Evaluation of Coursework Answer Scripts

(1) Coursework answer scripts of all the Research Scholars shall be evaluated independently by two valuators.

(2) If the difference between the marks awarded by the two valuators is ≤14%, the marks awarded to the script shall be the average of the two valuations.

(3) If the difference between the marks awarded by the two valuators is ≥ 15%, a third examiner shall be appointed to evaluate the answer script concerned. The average of the marks of the nearest two valuations shall be awarded to the answer script. However, if one of the three evaluations is exactly midway between the other two, then the higher two marks shall be taken for averaging and the resulting average shall be awarded to the answer script.

23PHD 6. 6. Confirmation of Ph.D. Registration and Notification

(1) After the successful completion of coursework (Part-I) and the Comprehensive Viva- Voce (Part-II), the RAC, along with all the relevant documents, shall recommend to the Registrar for issuance of notification to the Scholar on Confirmation of Registration.

(2) On receiving the recommendations of the Admissions Committee, the Registrar shall issue the confirmation Notification.

(3) The Notification shall specify the date from which the registration for the Ph.D. programme is confirmed for the concerned Research Scholar.

23PHD 6.7. Full-Time and Part-Time Scholars Responsibilities

The University admits candidates for research programmes on Full-Time and Part-Time basis subjected to the conditions under Sections 23PHD 2.2 and 23PHD 2.3. Full-Time Research Scholars have additional academic responsibilities as compared to Part-Time scholars.

23PHD 6.7.1. Full-Time Ph.D. Fellowships

(1) The Full -Time Research Scholars admitted to University PG Centres at Belagavi, Muddenahalli, Mysore and Kalaburagi, will be offered Ph.D. fellowships as per the University norms.

(2) The Full-Time Research Scholars will be eligible for a contingency grant as decided by the University from time to time. On the approval of the Research Supervisor and the University, the research scholar shall utilize the contingency grant for the following purposes:

a) Purchase of books, subscription to professional journals, photo copying, purchase of computer and accessories, chemicals, electronic components, stationery, and postage etc., needed for the research work.

b) Expenses towards travel for fieldwork and data collection.

c) Expenses towards research work carried out in laboratories, research centers, etc. outside the University.

d) Registration charges and travel expenses for attending conferences, seminars, workshops, training programs etc., and

e) Secretarial assistance in the case of 'Differently-Abled' Scholars.

(3) Candidates under Full-Time category shall submit an undertaking to complete the research and submit the Thesis or to complete the minimum duration of three years.

(4) In case the Research Scholar leaves the Ph.D. programme without permission before submission of Thesis or completion of three years, he shall repay the Ph.D. Fellowship/contingency grant received from the University till that date. The University reserves the right to take necessary action to recover the grants from defaulting persons.

23PHD 6.7.2. Duties and Responsibilities of Full-Time Research Scholars

(1) The Full-Time Research Scholars are required to work effectively towards completion of their Ph.D. programme within the stipulated period and are expected to devote at least 2/3rd of their daily time for Ph.D. research work.

(2) The Research Scholars are required to learn the existing theories, practices, and research methods of the discipline and to apply them in their research work.

(3) All Research Scholars are expected to demonstrate highest integrity and maintain ethical standards in all aspects of their work, especially in the tasks of collecting, analyzing, and presenting research data. Special care shall be taken to follow guidelines established by the University.

(4) The Research Scholars shall assist a faculty in the Faculty of Studies/ Department in teaching and/ or other academic activities and utilize this experience to enhance his/ her own professional efficiency.

(5) The Research Scholars shall involve in the development of curriculum and learning resources for UG/ PG courses along with the faculty members, if necessary, in the respective Faculty of Studies/ Department.

(6) The Research Scholars must contribute wherever possible to the Co-curricular and Extra-curricular activities of the University and engage in scholarly discourse of the discipline through presentations and publications. He/she should attend and participate in appropriate Seminar/ Conference/ Workshop/ Symposium/ Colloquium/ Training Program etc. and must carry the University affiliation during the tenure of fellowship in all their research publications, either individual or joint.

(7) The Research Scholars are expected to co-ordinate and take leading role in all academic activities along with the faculty members in organizing Seminar/ Conference/ Workshop/ Symposium/ Colloquium/ Training Program etc.

(8) The Research Scholars may help faculty members to prepare a variety of professional and career roles and responsibilities and may also mentor their juniors.

(9) No Research Scholar will be allowed to involve in examination/evaluation related duties.

(10) Research and Consultancy services shall be undertaken during the tenure of fellowship either independently or jointly with the faculty member of the respective Faculty of Studies/Department. He shall involve in promoting industry-institution interaction to inculcate professionalism.

(11) The Research Scholars are expected to understand and learn academic and administrative management of the institution by involving in the design and

development of new programmes, preparing project proposals for funding etc.

(12) This includes participation by Research Scholars in programs such as interaction between institution-industry-society, community development programs of the University, providing research based support to rural communities and other agencies involved in rural development, providing non-formal education to the community, involve in entrepreneurial activities, dissemination of knowledge and technical support in areas of social relevance.

(13) All Research Scholars must take personal responsibility of being informed and complying with regulations and policies of the University and to complete all required paperwork and other obligations within a stipulated time as prescribed by the University.

(14) All Research Scholars are required to spend their three-years tenure fellowship in the University campus. Hence, joining any organization/ institution for full time or part time employment is not permitted during the tenure of the fellowship.

(15) The above list is only indicative. The Research Scholars shall perform and complete any specific activities assigned by the Dean of the respective faculty of Studies from time to time with the concurrence of the University.

23PHD 6.7.3. Duties and Responsibilities of Part-Time Research Scholars

(1) The Part-Time Research Scholars are required to work effectively towards completion of their Ph.D. programme within the stipulated period and are expected to devote at least 50% of their daily time for Ph.D. research work.

(2) The Research Scholars are required to learn the existing theories, practices, and research methods of the discipline and to apply them in their research work.

(3) All Research Scholars are expected to demonstrate highest integrity and maintain ethical standards in all aspects of their work, especially in the tasks of collecting, analyzing, and presenting research data. Special care shall be taken to follow guidelines established by the University.

(4) He/she should attend and participate in appropriate Seminar/ Conference/ Workshop/ Symposium/ Colloquium/ Training Program etc. and must carry the University affiliation in all their research publications, either Individual or Joint.

(5) A Research Scholar will be allowed to involve in examination or evaluation related duties with prior permission from the University.

(6) Research and Consultancy services may be undertaken either independently or jointly with the faculty member of the respective Faculty of Studies/ Department. He shall also involve in promoting industry-institution interaction to inculcate professionalism.

(7) Research Scholars shall participate in programs such as interaction between institution-industry-society, community development programs of the University, providing research based support to rural communities and other agencies involved in rural development, providing non-formal education to the community, supporting entrepreneurial activities, dissemination of knowledge and technical support in areas of social relevance.

(8) All Research Scholars must take personal responsibility of being informed and

complying with regulations and policies of the University and to complete all required paperwork and other obligations within a stipulated time as prescribed by the University.

(9) The above list is only indicative. The Research Scholars shall perform and complete any specific activities assigned by the Dean of the respective faculty of Studies from time to time with the concurrence of the University.

23PHD 7.0. RESEARCH PROGRESS ASSESSMENT

Starting from confirmation of admission to satisfactory completion of the research work by the Research Scholar, the Dean along with the Research Supervisor shall offer requisite guidance and continuously monitor his/her progress.

23PHD 7.1. Periodic Review by the Research Advisory Committee and Progress Reports

(1) (i) The RAC shall review the research progress of the Research Scholar for every six months until the submission of the final Thesis.

(ii) The Committee shall consider both the research progress and the residence period for the declaration of half yearly report to be satisfactory in case of Part-Time Scholars.

(iii) The Committee shall endorse the residence period certificate (with the starting and end dates mentioned) issued by the Research Supervisor and attach the same with its half yearly report.

(iv) In case, the Part-Time Research Scholar has not satisfied the residence period, the half yearly report shall be marked 'not satisfactory'.

(2) Each Research Scholar shall submit a research progress report in the format specified by the University to the RAC, two weeks prior to the schedule of the meeting. The half-yearly progress report shall cover the aspects such as, new data collected/ obtained, techniques developed, progress in research, discussion of the work done during the review period, new findings, and work plan for next six months. Research papers prepared/ published, if any, shall also be submitted.

(3) The Research Scholar shall make oral presentation of his progress before the RAC.

(4) The RAC shall communicate the progress or otherwise of the Research Scholar to the Research Center for uploading the same to the website https://jnanashodha.vtu.ac.in.

23PHD 7.2. Cancellation of Pre –Registration to Ph.D. programme

(1) The RAC shall be free to recommend the cancellation of Pre – Registration to Ph.D. programme of the Research Scholar if,

(i) Two consecutive research progress reports are not adjudged to be satisfactory, and/or

(ii) Two consecutive research progress reports are not submitted.

(2) Before recommending the cancellation of registration, the RAC shall issue a show-cause notice to the Research Scholar, seeking explanation.

(3) Based on the explanation submitted by the Research Scholar, the RAC shall decide

favourably or otherwise and communicate its decision to the University and to the Research Scholar. If the Research Scholar is not satisfied with the decision, he/she may appeal, through the Registrar, to the Vice Chancellor with valid reasons, seeking intervention. The decision of the Vice Chancellor in this regard shall be final.

23PHD 7.2. Comprehensive Viva- Voce (Part – II)

23PHD 7.2.1. Requirements to be satisfied for Comprehensive Viva-Voce

(1) Full-Time Scholars shall appear for the comprehensive Viva-Voce after Four months and Part-Time Scholars shall appear for the comprehensive Viva-Voce after six months from the date of completion of all the courses of the coursework.

(2) For whatever reason(s), if the comprehensive Viva-Voce is not completed within three years from the date of provisional registration in the case of Full-Time Research Scholars, and within four years from the date of provisional registration in case of Part-Time Research Scholars, their admission shall stand automatically cancelled.

23PHD 7.2.2. Scheduling Comprehensive Viva-Voce

(1) The Research Center, on receipt of the written request from the Research Scholar for the conduct of comprehensive Viva-Voce, shall write to the Registrar seeking permission.

(2) The Research Center, in consultation with the RAC, shall schedule the date/time for the comprehensive Viva-Voce on receipt of the written permission from the Registrar.

23PHD 7.2.3. Conduct of Comprehensive Viva-Voce

(1) The RAC shall conduct the comprehensive Viva-Voce in English language only.

(2) The comprehensive Viva-Voce shall be a closed-door oral examination open to the RAC members (as examiners), and the Research Scholar.

(3) The RAC shall be free to invite additional examiner(s) if required for assisting it in the Viva-Voce. The additional examiner (s) shall be chosen, by the Chairperson of the RAC, from a panel of two or more experts recommended by the Research Supervisor(s).

23PHD 7.2.4. Content and Form of Comprehensive Viva-Voce

(1) The Comprehensive Viva-Voce shall consist of a presentation by the Research Scholar on his/her topic of research, including the work done till date and the proposed future work.

(2) The RAC and the additional examiner(s), if present, shall test the Research Scholar for fundamental concepts in the coursework and applied knowledge to carry out the proposed research work further.

23PHD 7.2.5. Performance Standards at Comprehensive Viva-Voce

The RAC shall communicate the result of a Research Scholar in the Comprehensive Viva-Voce to the Registrar through the Research Center as:

(1) The RAC is satisfied at the successful completion of Comprehensive Viva-Voce and

shall continue the research work.

OR

The RAC has indicated the deficiencies in specific areas in which the Research Scholar needs strengthening of knowledge and is suggesting a date preferably within the next three months for Comprehensive Viva-Voce.

(2) The RAC suggests a change in Research area/ Topic/ Research title for consideration, which shall be made as per applicable Sections under 23PHD 11.12 and 23PHD 11.13.

(3) If the RAC does not recommend the continuation of research work even after the second attempt of Comprehensive Viva-Voce, the provisional registration shall stand cancelled automatically, without the issuance of a notice.

(4) The recommendation for cancellation of the provisional registration by the RAC shall be addressed to Registrar.

(5) On receiving the proceedings of the RAC regarding the recommendation of cancellation of the provisional registration, the Registrar shall place the same before the Admissions Committee for its considerations and further action.

23PHD 8.0. THESIS EVALUATION AND ADJUDICATION

Upon satisfactory completion of course work and obtaining the marks/grade prescribed above, the Research Scholar shall be required to undertake research work and produce a draft Thesis followig the procedures listed below. Finally, the Adjudicators shall evaluate the Thesis and make recommendations for award of the degree.

23PHD 8.1. Open Seminars, Mandatory Publications and Pre-Submission Colloquium (Part-III)

The Research Scholar shall give open Seminars, publish minimum number of technical papers, required under Part-III, and attend Pre-Submission Colloquium before finalizing the Thesis.

23PHD 8.1.1 Open Seminars

(1) Prior to the submission of the Synopsis covering all the chapters of the Thesis (required under Part-IV), each Research Scholar shall give two pre-Ph.D. presentations, commonly known as open seminars before the RAC at the Research Center.

a) The first open seminar shall be held only after Four months from the date of successful completion of Comprehensive Viva-Voce.

b) The second open seminar shall be held only after Two months from the date of first open seminar.

(2) These Seminars shall be open to all the faculty members and other Research Scholars arranged with the objective of getting feedback and comments/suggestions from them, for being suitably incorporated into the Ph.D. Thesis, under the advice of the Research Supervisor/Co-Supervisor.

(3) The RAC shall upload the proceedings of each seminar to web link https://jnanashodha.vtu.ac.in.

23PHD 8.1.2. Mandatory Publications

1) Each Research Scholar shall publish minimum of one (01) research paper in Quartile Indexed Journals: Q1-Q3 based on his/her research work for the Ph.D. Degree, prior to the Pre-Submission colloquium and produce evidence for the same, to the RAC, in the form of reprint or acceptance letter/s from the Publisher(s) of the Journal.
2) Each published paper should have the Research Scholar and Research Supervisor names cited, to satisfy the above clause and to be considered as eligible for submission of thesis.
3) The Research Scholars shall also furnish DOI/ORCID/Google Scholar ID along with the reprint of published papers or acceptance letter/s from the Publisher(s) of the Journal.

23PHD 8.1.3. Pre-Submission Colloquium

1) Upon qualifying successfully in the Coursework and the Comprehensive Viva-Voce, and satisfactory research progress followed by Open Seminars, publication(s) in Quartile Indexed Journals: Q1-Q3, the Research Scholar shall submit to the RAC a Synopsis in English language and conforming to the standard format prescribed by the University, at least three months prior to the submission of the Thesis and request for Pre-Submission Colloquium.
2) The synopsis shall summarize the original research work and findings of the Research Scholar, including the publications resulting from the Research work.
3) The Research Scholar shall present a pre-submission colloquium before the RAC, demonstrating his/her preparedness to submit the Synopsis for the process of adjudication.
4) On satisfactory performance at the Pre-Submission Colloquium, the RAC shall permit the Research Scholar to submit the Synopsis covering all the chapters of the Thesis followed by Ph.D. Thesis. The Synopsis shall be attached with the plagiarism report obtained at the University/ Research Center.
5) If the performance of the Research Scholar in the Pre-Submission Colloquium is not satisfactory, the RAC may point out the deficiencies, and instruct to repeat the Colloquium within three months.
6) In case, the performance at the second Pre-Submission Colloquium is not satisfactory the RAC, subjected to provisions under Section 23PHD 1.2, shall be free to permit the Research Scholar to repeat the Colloquium for the third and last time within three months.
7) In case, the performance at the third Pre-Submission Colloquium is also not satisfactory, no further chance shall be given to pursue the programme and the registration shall stand cancelled automatically, without issuance of a notice.

23PHD 8.2. Minimum Period for Submission of Thesis by Full-Time Scholars

Minimum duration of Full-Time Ph.D. programme and the Integrated Ph. D.

Programme, shall be three (03) years, including the coursework, subject to fulfillment of all the prescribed requirements of the programme. Full-Time Research Scholars shall be eligible for submission of Thesis after a minimum period of three (03) years from the date of admission.

23PHD 8.3. Maximum Period for Submission of Thesis by Full-Time Scholars

The maximum period for submission of the Ph.D. Thesis shall be six (06) years from the date of admission for all Full-Time Scholars, including those admitted for Integrated Ph.D. Programme.

23PHD 8.4. Minimum Period for Submission of Thesis by Part-Time Scholars

Minimum duration of Part-Time Ph.D. programme shall be four (04) years, including the coursework, subject to fulfillment of all the prescribed requirements of the programme. Part-Time Research Scholars shall be eligible for submission of Thesis after a minimum period of four (04) years from the date of admission.

23PHD 8.5. Maximum Period for Submission of Thesis by Part-Time Scholars

The maximum period for submission of Thesis shall be six (06) years from the date of admission.

23PHD 8.6. Submission of Thesis before the prescribed minimum Period of the Ph.D. programme

A Research Scholars, who complete the research work much before the prescribed minimum period of Ph.D. programme prescribed under 23PHD 8.4 or 23PHD 8.6, may request the Registrar (Evaluation) for permission to submit the thesis provided they satisfy most of the following or any other valid issues raised by the Research Policy Apex Committee.

(i) The research work is original and significantly adding knowledge to the research field.
(ii) Four or more papers are published in IEEE Transactions/ Scopus/ SCI/ WOS indexed journals.
(iii) The research has resulted in a real-time product.
(iv) The research work has resulted in patents, awards, etc.

The permission shall be subject to the decision of Research Policy Apex Committee and is binding on all concerned.

23PHD 8.7. Extension of Maximum Period for Submission of Thesis and other provisions (Common to both Full-Time and Part-Time Scholars)

(1) The Vice Chancellor shall have the powers to extend the maximum period for submission of the Ph.D. Thesis by such Research Scholars who have made considerable progress in research but are unable to submit Thesis within the permissible maximum period of the Ph.D. programme.
(2) The extension period shall be two years beyond the maximum period on specific

recommendations of the RAC forwarded through the Research Center to the Registrar, Provided the request for extension from the Research Scholar is received not less than three months prior to the completion of the maximum programme period. the Registrar (Evaluation) on approval of the Vice Chancellor, shall permit the Research Scholar to submit the Thesis after paying a penal fee of Rs 20,000/- (Rupees Twenty thousand only) and extending the maximum period of the programme by two years; such that the number of years after extension shall be within 8 years from the date of provisional registration.The decision of the Vice Chancellor in this regard shall be final.

(3) In case the request is not received before three months prior to the completion of the maximum programme period or received after the maximum programme period, the Registrar (Evaluation) on approval of the Vice Chancellor, shall permit the Research Scholar to submit the Thesis after paying a penal fee of Rs 30,000/- (Rupees Thirty thousand only) and extending the maximum period of the programme by two years; such that the number of years after extension shall be within 8 years from the date of provisional registration.The decision of the Vice Chancellor in this regard shall be final.

(4) In case of failure of the Research Scholar to submit the Thesis by the end of the extended period, the registration shall be cancelled without the issuance of notice.

23PHD 8.2. Submission of Synopsis and related Documents

1) On satisfactory performance at the Pre-Submission Colloquium, the RAC shall first submit one hard copy as per checklist. The synopsis shall also be accompanied with the documents specified in Annexure - 4.
2) Along with the Synopsis, the Research Center shall arrange to forward to the Registrar (Evaluation) a panel containing details of twelve experts under two groups namely Group –A and Group – B, for adjudication of the thesis as approved by the RAC. Each group shall have six Adjudicators. The list of proposed Adjudicators shall not have the names of the domain experts serving the concerned RAC.

   Group – A: The Adjudicators shall be from outside the University and outside ~~of~~ the University approved Research Centers located at Research and industrial organizations. The six Adjudicators shall be from IISc/ IIT/ IIM/ IIIT/ NIT/ State Government and Central Government Universities(NIRF Ranking)/ reputed National Laboratories and National Research organizations within the country.

   Group – B: The six Adjudicators shall be, in any proportion, from IISc/ IIT/ IIM/ IIIT/ NIT or foreign Universities figuring in top 500 of Times Higher Education (THE) ranking list and/or Quacquarelli Symonds (QS) World University ranking list.
3) While proposing the names of the Adjudicators for evaluation of Thesis, the Research supervisor shall ensure that the Adjudicators belonging to both Group – A and Group – B are involved in active Research in the specialization field of the Research Scholar and belongs to the following cadre.
   (i) Adjudicators from IISc/IIT/IIM/IIIT/NIT /State Government and Central Government Universities: shall belong to the cadre of Professor or Associate

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Professor.

(ii) Adjudicators from National Laboratories and National Research Organizations within the country: shall be Grade 'C' and above with Ph.D. degree. This shall be supported by a certified copy issued by the concerned authority.

4) The proposed panel of Adjudicators shall be accompanied with at least three papers (documented in peer reviewed journals of repute/UGC CARE journals indexed in Scopus/ SCI/ WOS) of each Adjudicator.
5) The broad area of specialization of each Adjudicator along with Open Researcher and Contributor ID (ORCID)/Google Scholar ID shall be provided in the panel submitted.

23PHD 8.3. Submission of Thesis

23PHD 8.3.1. On verification, that the Research Scholar has satisfied all the requirements of the Ph.D. programme, produced all relevant documents and no due certificates, the Registrar (Evaluation) shall permit submission of the Thesis for Adjudication.

1) The documents shall be submitted as per the checklist specified at the University Website [Annexure 4]
2) Prescribed Thesis adjudication fees shall be paid to the University.
3) In case the Scholar is unable to submit the Thesis within three months from the date of approval by the Registrar (Evaluation) and the maximum duration specified in 23PHD 1.2 is exceeding, extension of time for submission may be requested through a letter addressed to the Registrar (Evaluation). The letter shall be endorsed by the recommendations of the Research Supervisor(s) and the RAC and forwarded through the Research Center.

23PHD 8.3.2. Anti-Plagiarism Check Report

The process of plagiarism check shall be as follows:

1) The University shall check for plagiarism through a specified licensed software.
2) The plagiarism check shall be carried out as per "VTU (Promotion of Academic Integrity and Prevention of Plagiarism) Regulations, 2023" as applicable to the evaluation of thesis of Ph.D. degree.
3) If the plagiarism report is within accept limit, then the thesis will be processed further. Otherwise, Research Scholar shall be intimated on the status for further updating of thesis to comply with the anti-plagiarism Regulations.
4) The Research Scholar shall have a maximum of three instances to submit and resubmit the thesis after which the thesis shall rejected,
5) Suitable fees shall be charged for Anti-Plagiarism Check Report by the University for each Plagiarism check conducted.

23PHD 8.4. Adjudication of Ph.D. Thesis

1) The intervening period available between the submission of Synopsis and the Thesis by

the Scholar shall be used by the Registrar (Evaluation) for deciding the Adjudicators.

2) The Vice Chancellor shall choose one Adjudicator each from Group–A and Group–B following the procedure specified under Section 23PHD 8.2, for adjudication of the thesis, and the Registrar (Evaluation) shall send invitation letters to them along with a copy of the Synopsis covering all the chapters of the Thesis.
3) Adjudicator's acceptance shall preferably be obtained within 15 days from the date of invitation, before proceeding further on the subject.

23PHD 8.4.1. Appointment of Adjudicators

The panel of Adjudicators for the Thesis shall be the Research Supervisor, Co-Supervisor, if any, and two more Adjudicators identified as per 23PHD 8.4 (2) and (3) and approved by Vice Chancellor.

23PHD 8.4.2. Dispatch of Copies of Thesis to Adjudicators

1) The University shall send softcopy of the Thesis to each Adjudicator for evaluation, with a request to evaluate the Thesis and send the evaluation report(s) preferably within a period of 45 days.
2) If the Report is not received from an Adjudicator within this period, a reminder once in every 15 days to that effect shall be sent to the Adjudicator concerned.
3) If any Adjudicator does not send the report even after two reminders or does not reply to the communications from the University, the Vice Chancellor shall identify and appoint another Adjudicator, selected from the appropriate Group - A or Group – B or from outside the Groups under special circumstances.

23PHD 8.4.3. Receipt of Thesis Reports at the University

1) All the adjudicators shall evaluate the Thesis and send their reports (comprised of at least 250 words) independently to the Registrar (Evaluation). However, it shall be possible to submit a Joint Report in the case of Research Supervisor and Research Co-Supervisor adjudicating a Thesis.
2) The Reports shall include:
   (i) A critical analysis of the work as embodied in the Thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
   (ii) List of questions to be asked or points to be clarified if any, at the final Viva -Voce.
   (iii) A definite recommendation as to whether the Thesis attains the standard for the award of Ph.D. Degree or not.
3) The Adjudicators shall make any one of the following recommendations that the:
   (i) Thesis is accepted in the present form and recommended for the award of Ph.D.Degree.

OR

   (ii) Thesis needs minor clarifications indicated in the report which need to be clarified at the final Viva-Voce and it is recommended for the award of Ph.D. Degree.

OR

(iii) Thesis needs minor corrections to be made as indicated in the report, which need to be incorporated in the Thesis and clarified at the final Viva-Voce and it is recommended for the award of Ph.D. Degree.

OR

(iv) Thesis needs major corrections as indicated in the report and the revised Thesis to be referred to the Adjudicator concerned for fresh evaluation.

OR

(v) Thesis is rejected for the reasons specified in the report and not recommended for award of Ph.D. Degree.

23PHD 8.4.4. Rejection of Thesis, based on Unfavorable Reports

1) If both the external Adjudicators do not recommend for the award of the Ph.D. Degree, the Thesis shall be rejected.
2) The Registrar (Evaluation) shall forward this information to the Registrar to place before the Executive Council for its approval the cancellation of registration of the Scholar to Ph.D. programme in view of the rejection of Thesis by the external Adjudicators.
3) On approval of the EC, the Registrar shall notify the cancellation of registration on University website and intimate the same to Research Supervisor(s), Research Center, and the concerned Research Scholar.

23PHD 8.4.5. Appointment of Additional Adjudicator, if necessary

1) The Thesis shall not be accepted for award of the Degree if any one of the external Adjudicators finds that the research work presented in the Thesis is not up to the expected standard, as given in his/her report along with detailed reasons for the same.
2) In such a case, with the approval of Vice Chancellor, another external Adjudicator from Group – B (the third external Adjudicator) shall be appointed by the Registrar (Evaluation) and invited for evaluating the Thesis.
3) If the third external Adjudicator, after evaluating the Thesis gives a favorable Report, the Registrar (Evaluation) shall initiate further steps to conduct final Viva – Voce examination.
4) If the third external Adjudicator also rejects the Thesis, then the Thesis shall not be accepted, and the Ph.D. registration of the Scholar shall be cancelled.

The University shall follow the due process of cancellation according to clause (2) and (3) of Sections 23PHD 8.4.4.

23PHD 8.4.6. Consideration of Favorable Thesis Reports

1) On receiving the favorable recommendations from all the appointed Adjudicators, the Registrar (Evaluation) shall send copies of the Reports to the Research Supervisor, permitting the conduct of final Viva- Voce.

23PHD 8.5. Conduct of Final Viva-Voce

1) The composition of the Viva-Voce Board shall be as specified under 23PHD 3.6.

2) The Research Supervisor-shall fix the date, time, and venue for the Final Viva-Voce in consultation with the members of Board of Examiners for Final Viva – Voce Examination along with the Research Scholar.
3) The Research Supervisor shall inform the Registrar (Evaluation) about the date, time, and venue for the Viva-Voce.
4) In case, the University identified Adjudicator informs in writing his/ her inability to be present at the scheduled Viva-Voce, the Research Supervisor shall intimate the same to the Registrar (Evaluation), who, with the approval by the Vice Chancellor, shall appoint another examiner selected from Group – B, or another examiner from the same field to conduct final Viva-Voce.
5) The final Viva-Voce shall be conducted by the Board of Examiners at the venue approved by the Registrar (Evaluation), which shall, normally be the Research Center in which the research work was carried out or the Regional Center of the University or the Institution where the Research Supervisor/ Co-Supervisor is employed.
6) The Research Supervisor shall invite the members of the teaching staff and other Research Scholars to attend the Viva-Voce. The Research Scholar shall make a brief presentation of the research work carried out by highlighting the important findings/ conclusions.
7) After the completion of the presentation, the Research Supervisor shall give opportunity to the invitees to seek clarifications on the research work, if any.
8) (i) After this, the Board shall examine to test the Research Scholar about his/her understanding of the subject depth and the Thesis contribution; also seek answers to the written queries by the Adjudicators in the Thesis Evaluation Reports, if any.
   (ii) The Scholar shall be required to produce all the documents, data, and analysis in support of the research work presented in the Thesis.
   (iii) The Board may ask questions beyond the subject matter of the Thesis to satisfy themselves that the Scholar has adequate knowledge of the branch of the subject on which the Thesis has been submitted.
9) On completing the Viva-Voce, the Board shall submit a report to the Registrar (Evaluation) Clearly indicating that,
   (i) The minor clarifications sought, the indicated corrections, and the raised queries in the report of the adjudicator(s) (if any) has/have been addressed satisfactorily, and
   (ii) The performance of the Scholar was satisfactory, and Board recommends the award of the Ph.D. Degree to the Scholar.
10) (i) In case, the performance of the Research Scholar is not satisfactory, the Board shall report accordingly, giving reasons for the same and recommending another Viva-Voce to be conducted after three months.
   (ii) The Registrar (Evaluation), with the approval of Vice Chancellor, shall permit another Viva- Voce as required, with the composition of the Board unchanged.

(iii) In case, the Research Scholar fails to attend the second Final Viva –Voce or the performance is not satisfactory, the admission shall automatically get terminated.

11) Prescribed fees shall be paid by the Research Scholar to the University for the conduct of each Final Viva – Voce examination.

23PHD 8.5.1. Consolidated Final Viva - Voce Report

Immediately after successful completion of the final Viva-Voce, the Board of Examiners shall prepare and forward the Consolidated Report along with duly corrected versions of both the hard and the soft copies of the Thesis through the Research Center to the Registrar (Evaluation).

23PHD 9.0. NOTIFICATION AND AWARD OF THE DEGREE

23PHD 9.1. Award of Ph.D. Degree

1) The University shall offer Ph.D. programme and award Ph.D. degree to candidates completing all the conditions specified for the award of the degree in these Regulations.
2) The University, with the approval of its authorities, shall award the Ph.D. Degree certificate only to such Research Scholars during the forthcoming Convocation.
3) Provided while awarding the Integrated Ph.D. Degrees, there shall be a specific mention in the degree Certificate that the Degree conferred is an M.Sc.(Engg.) by Research with Ph.D. Integrated degree or M. Tech. with Ph.D. Integrated degree or M. Arch. with Ph.D. Integrated Degree, as the case may be.

23PHD 9.2. Grant of M.Phil. Degree

The University shall not offer the M.Phil. (Master of Philosophy) programme from the date of Notification of this Regulations.

23PHD 9.3. Provisional Degree Certificate

1) Prior to the actual award of the Ph.D. degree, on approval by the Executive Council, the University shall issue a provisional degree certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.
2) For such Research Scholars also, the University, with the approval of its authorities, shall award the Ph.D. Degree certificate during the forthcoming Convocation.

23PHD 9.4. Award of Ph.D. degrees prior to Notification of these Regulations

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

Award of M.Phil./Ph.D. Degree) Regulations, 2018. Nothing in these Regulations shall impact the M.Phil./M.S.(Research) Degree programmes commencing prior to the enactment of these Regulations.

23PHD 9.5. Depository with INFLIBNET (Shodhganga)

1) Following successful completion of the evaluation process and before announcement of the award of the Ph.D. degree, the Registrar (Evaluation) shall submit an electronic copy of the final Ph.D. thesis, in to which all suggestions from Adjudicators have been incorporated, to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.
2) The University shall also maintain a repository of such Ph.D. thesis in its Library.

23PHD 9.6. Post Doctoral Programme

The post-doctoral thesis is not a fresh research work, but a cumulative presentation of decade(s) of research work that is guided by a common theme or research orientation, with a vision to substantially contribute to the academic literature with fervor to advance the knowledge in the subject/ research field. In order to create supportive climate for research and invite young persons who have earned their Ph.D. and have publication records may be invited for post-doctoral fellowship. These Scholars will be working in collaboration with existing regular faculty of VTU Belagavi.

23PHD 10.0. INSTITUTIONS FOR CONDUCTING RESEARCH

23PHD 10.1. Recognition of Research Centers

Recognition to various Institutions for conducting research leading to award of the degree by the University shall be governed by the "Visvesvaraya Technological University (Recognition of Research Centers and Research Supervisors) Regulations, 2023". Apart from the University, it's constituent colleges, affiliated Colleges and the faculties of Studies/Departments, a Research Scholar is permitted to pursue research leading to Ph.D. degree in any one of the following Institutions, which has Research Centre (s) recognized by the University.

1) All India Research Institutions and Regional /Collaborative Research Institutions duly recognized by the University or AICTE/ UGC/ NBA/ NAAC Accredited Institutions.
2) Well-equipped Research and Development departments/ Innovation Centers of public and private sector undertakings recognized by this University, from time to time, having necessary facilities for undertaking research at an advanced level.
3) All approved Institutions of Statutory bodies of Government of India or State Government or registered Societies involved in the process of disseminating advanced knowledge and Research/ Professional bodies etc.
4) Any industry/ institution/ corporate entity/ multinational companies/ research labs/ industry R & D centers registered with professional bodies like

NASSCOM/CII, etc. having sufficient infrastructure to conduct research within India or abroad.

5) The Research Scholar shall submit the Certification/Testimony regarding the completion of his research work and also a confidential letter in a sealed cover from the Head of the Institution where research is carried out, about the involvement/ dedication/ behavior of the concerned Research Scholar during his association with the Institution.

23PHD 10.2. Ph.D. Programme by Autonomous Institutions

Autonomous Institutions offering Ph.D. Programmes shall take prior approval from the University for admitting candidates to the Ph.D. Programmes and shall follow the Ph.D. regulations and calendar of events of the University.

23PHD 10.3. Utilization of facilities available at another Research Center

1) The Research Scholars shall utilize the facilities available at other Research Centers by seeking permission by the Registrar and the concerned Research Center. In such cases, Scholars shall submit a request to the Registrar through Research Center with the approval of the RAC for the same.
2) All Research Centers shall extend cooperation to the Research activities by adhering to VTU (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2023.
3) The research Scholar shall execute an undertaking that he would adhere to the Rules and Regulations of the new Research Center/s.
4) Prescribed fees shall be paid by the Scholar to the University and to the new Research Center allotted to him/her.

23PHD 11.0. MISCELLANEOUS

23PHD 11.1. Copyright of the Thesis

The University shall hold the Copyright of all the Thesis after conferring the Ph.D. Degree.

23PHD 11.2. Prohibition of Scholars from Registering for any other Degree

No Research Scholar of the University shall be permitted to pursue any other Degree programme within the University or at other Universities / Institutions, concurrently with his/her on-going registration as a Research Scholar for the Ph.D. Degree.

23PHD 11.3. Prohibition of Statutory Officers from Ph. D. Registration

The Statutory Officers of the University shall not be permitted to register for the Ph.D. Degree of the University during the period of their tenure at the University.

23PHD 11.4. Change of Research Supervisor / Research Co-Supervisor

1) In unforeseen circumstances like, transfer/voluntary retirement/ resignation/ indisposed situation/demise of the Research Supervisor and/or Research Co-Supervisor/ legal actions on the Research Supervisor by the administration, etc., the research Scholar

shall submit a request to the Registrar through Research Center with the approval of the RAC for a change of Research Supervisor/ Co-Supervisor.

The request shall be with No Objection Certificates (NOCs) issued from the current Research Supervisor/ Co-Supervisor (if any), in feasible situations and from the proposed alternate Research Supervisor/ Co-Supervisor (if any) and the Research Center.

2) The change of Research Supervisor/ Co-Supervisor shall be permitted provided,
   (i) The field of specialization of new Research Supervisor/Co-Supervisor is pertinent to the field and topic in which the Research Scholar is pursuing the Ph.D. programme.
   (ii) The new Research Supervisor is working at a place where there is a University approved Research Center pertaining to the field in which the Research Scholar is pursuing the Research.
   (iii) The Research Center at which, the new Research Supervisor is working, has requisite research facilities required for the Research Scholar's research field/topic.
   (iv) The new Research Supervisor has a Research experience of at least three years as Research Supervisor.
3) Research Supervisors, working at a place where there is no University approved Research Center, can only function as Research Co-Supervisors. In such cases, the Scholar shall opt for a Research Supervisor who satisfy the condition under Section 23PHD 11.4(2).
4) In case, the specialization field of new Research supervisor/ Co-Supervisor is different from the Research Scholar's chosen field of research, there may be a change in research direction and may need a new research proposal and/or prescribing of new coursework to continue with the Ph.D. programme.

   In such cases, the Registrar with the approval of the Admissions Committee, shall permit the change of Research supervisor/ Co-Supervisor with new coursework/ additional course/s for completion as per University norms without changing the date of admission to Ph.D. programme. In view of the foregoing, the Research Scholars may have to repeat any one or more of the following:
   (i) Complete the new coursework/ additional course/s
   (ii) Comprehensive Viva – Voce
   (iii) Open Seminars
   (iv) Publication of papers
   (v) Pre-Submission Colloquium
5) The change shall be considered, case by case, based on the stage at which the change is being sought:
   a) Change before the completion of coursework.
   b) Change after completion of the coursework and before the comprehensive viva-voce.
   c) Change after the comprehensive Viva-Voce but before Pre-Submission Colloquium.
   d) Change after the Pre - Submission Colloquium.

   For all the above cases a to d, one mandatory publication in Q1-Q3 Journal is to be published with the new approved guide along with other publications if any, related

to the work.

6) The Admissions Committee shall take suitable decisions, following or overruling the Sections 23PHD 11.4(4) and (5) in unforeseen circumstances. In all such cases, the decision of the Admissions Committee shall be final and binding.
7) Prescribed fees shall be paid by the Research Scholar to the University for the change of Research Supervisor/Co-Supervisor.
8) In all the above cases, the Research Scholars can carry the research data of research already done but shall give due credit to the former Research Supervisor/ Co-Supervisor and the Institution with its use.
9) Change of Research Supervisor/ Co-Supervisor shall be permitted only once during the Ph.D. programme.
10) With a change in Research Supervisor or the Research Co-Supervisor, the RAC shall be reconstituted.

23PHD 11.5. Appointment of caretaker Research Supervisor/ Co-Supervisor

1) In case the Research Supervisor or the Research Co-Supervisor goes on leave for more than 6 months because of various reasons (like sabbatical / internship/apprenticeship/ deputation /foreign assignment/ health/personal etc.), the RAC shall propose, to the Registrar, for an appointment of a caretaker Research Supervisor/ Co-Supervisor on ad hoc basis. To salvage the academic programme of the Research Scholar, the appointment of Research Supervisor/ Co-Supervisor as an ad hoc caretaker shall be beyond the maximum number of Research Scholars prescribed by the University for a Research Supervisor.

   The Registrar, on approval by Vice Chancellor, shall communicate the Registrar (Evaluation), Research Center and the Research Scholar about the appointment of the caretaker Research Supervisor/ Co-Supervisor.
2) In case the Research Supervisor or the Research Co-Supervisor extends the leave for more than 12 months, the RAC along with the ad hoc caretaker Research Supervisor/ Co-Supervisor shall request for a regular Research Supervisor/ Co-Supervisor subject to the fulfillment of 23PHD 11.4(2).
3) Prescribed fees shall be paid by the Research Scholar to the University.

23PHD 11.6. Co-Option of Research Co-Supervisor

1) The Research Scholar shall have the option to co-opt a Research Co- Supervisor any time before the Pre – Submission Colloquium along with the existing Research Supervisor and Research Co- Supervisor (if any) to improve the quality of Research.
2) The Scholar shall submit a request endorsed by the RAC to the Registrar.
3) The decision taken by Admission Committee in this regard shall be final and binding on all concerned.
4) Prescribed fees shall be paid by the Research Scholar to the University for the co-option of Research Co-Supervisor.

23PHD 11.7. Relocation of Scholars in crisis

1) Relocation of a Research Scholar, due to inevitable personal reasons, shall be considered by the University provided the requirements of the Ph.D. programme are not violated.
2) The Research Scholar, supported by relevant documents, shall submit an application for relocation consideration to the Registrar.
3) The Admissions Committee shall take a suitable decision, case by case and the same shall beconveyed to the Research Scholar. In all such cases, the decision of the Admissions Committee shall be final and binding on all concerned.
4) Research Scholars who seek relocation along with change of Research Supervisor/ Co-Supervisor is permitted governed by the Section 23PHD 11.4.
5) Prescribed fees shall be paid by the Research Scholar to the University.

23PHD 11.8. Relocation of Women Research Scholars for Extension of Special Facilities

1) Relocation of a Women Research Scholars, because of various reasons, shall be considered by the University to extend special facilities to Women Research Scholars, provided the requirements of the Ph.D. programme are not violated.
2) The Research Scholar, supported by relevant documents, shall submit an application for relocation consideration to the Registrar.
3) The Admissions Committee shall take a suitable decision case by case. In all such cases, the decision of the Admissions Committee shall be final and binding on all concerned.
4) In case of relocation of a female Research Scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the Research Scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency.
   Such Research Scholar shall, however, give due credit to the parent institution and the Supervisor for the part of research already undertaken.
5) The Scholars who seek relocation are governed by the Section 23PHD 11.4.
6) Prescribed fees shall be paid by the Scholar to the University.

23PHD 11.9. Leave

1) Research scholars are entitled for a maximum period of 15 days Casual Leave (CL) and 30 days Medical Leave (ML) in a year in addition to public holidays. They are not entitled to any other vacations.
2) Research Scholars are eligible for maternity/ Paternity leave as per GOI norms issued from time to time at full rates of fellowship etc., once during the tenure of their award. However, maximum duration of fellowship will not be extended under any circumstances.
3) The Research Scholar must submit a formal leave application to the Dean/Director of the respective Faculty of Studies through the Research Supervisor. Approval of the extension of leave will be at the discretion of the Dean/Director of the respective

Faculty of Studies.

4) A Research Scholar may also temporarily withdraw from the Ph.D. programme due to health or family circumstances. Such withdrawal request shall be forwarded through the Research Supervisor to the Dean of the respective Faculty of Studies, who in turn shall forward the same to the University for final approval.
5) Research Scholars cannot take more than two semesters (one year) of leave during the entire course of their Ph.D. Programme.

23PHD 11.10. Handling of Conflict between the Scholar and the Research Supervisor/ Research Co-Supervisor/ Research Center.

1) If there is any request to Registrar, from any one of the concerned, about the conflict betweenthe Research Scholar and the Research Supervisor/ Co-Supervisor/ Research Center, the Registrar shall refer the matter to Vice Chancellor. The decision of the Vice Chancellor shall be final in this regard.
2) The Section 23PHD 11.4 shall be applicable in case the decision results in change of Research Supervisor/Co- Supervisor.
3) Prescribed fees shall be paid by the Scholar to the University.

23PHD 11.11. Change of Research Area/Topic

1) Change of Research Area/Topic shall be allowed only once and any time during the Ph.D. programme, provided there is at least 3 years in case of Full-Time Research Scholars/4 years in case of Part-Time Research Scholars left before the completion of the maximum permissible period of the Ph.D. programme and allowable extension period. In such cases the date of admission to Ph.D. programme shall not be changed.
2) In case, a Research Scholar opts for a change of Research Area/Topic before the publication of papers,change shall be allowed, provided the coursework approved is supportive to the new research area/topic.

   With the change allowed, the Research Scholar may have to undergo the Comprehensive Viva – Voce, Open seminars, Mandatory Publication of papers, Pre-submission Colloquium, and submission of Synopsis covering all the chapters of the Thesis and the Thesis.
3) In case, the approved coursework is not supportive to the new research area/topic, the Research Scholar shall have to undergo new set of coursework or additional course/s. Further, with respect to the change, the Research Scholar must undergo the Comprehensive Viva – Voce, Open seminars, Mandatory Publication of papers, Pre-submission Colloquium, and submission of Synopsis covering all the chapters of the Thesis and the Thesis.
4) Submission of Thesis shall be permitted only after 2 years in case of Full-Time Research Scholars/ 3 years in case of Part-Time Research Scholars, from the date of change of Research Area/Topic.
5) In case, the field of specialization of Research Supervisor/ Co-Supervisor also covers the new Research area/topic, the allotted Research Supervisor/Co-Supervisor shall be continued.

6) In case, the field of specialization of Research Supervisor/ Co-Supervisor does not cover the new Research area/topic, the Research Scholar shall request for new Research Supervisor/Co- Supervisor. The allotment of Research Supervisor/s shall be made by considering the relevant sub Sections of 23PHD 11.4.
7) In case, the Research Scholar opts for a change of Research Area/Topic after the publication of papers, change shall be allowed, provided,
   (i) The Specialization of Research Supervisors covers the new Research Area/Topic sought by the Research Scholar.
   (ii) The facilities of the Research Center cater the needs of new Research Area/Topic.
   (iii) The coursework approved is supportive to the new research area/topic.
   (iv) Completed Open Seminars are pertaining to the new Research Area/Topic.
   (v) Published papers belongs to new Research Area/Topic.
8) For the change of Research area/topic, the Research Scholar shall submit a request through the Research Center, to the Registrar along with the abstract and recommendations of RAC.
9) The Admissions Committee shall take suitable decision and the decision shall be final and binding on all concerned.
10) Prescribed fees shall be paid by the Research Scholar to the University for the change of Research area/topic.

23PHD 11.12. Change of Thesis Title

1) Change in title of the Thesis shall be allowed only once and any time before the publication of papers. No change in the title of the Thesis shall be allowed after the pre - submission colloquium.
2) For a change in title of the Thesis, a request shall be submitted through the Research Center, to the Registrar along with the recommendation of RAC enclosing the receipt for the prescribed fee paid to the University for change of title.
3) The Admissions Committee depending on the merit of the case, shall decide whether, the change in title demands,
   (i) Additional or totally new coursework to be completed.
   (ii) The steps to be undertaken/to be repeated, depending on the state at which the change is sought, such as Comprehensive Viva–Voce, Open seminars, Mandatory Publication of papers, Pre- submission Colloquium, and submission of Synopsis.
4) The Admissions Committee shall take suitable decisions case by case and the decision of the Committee shall be final and binding on all concerned.

23PHD 11.13. Change of Programme from Full-Time to Part-Time and vice versa

1) In case, a Full-Time Research Scholar is desirous to change from Full-Time to Part-Time category any time, he/she shall submit a request through the Research Center, to the Registrar along with no objection certificates from the Research Supervisor and Co- Supervisor, if any, and the recommendations of the RAC.

2) In all such cases, the decision of the Admissions Committee shall be final and binding on all concerned.
3) If the Research Scholar belongs to any of the University Research Center and is a beneficiary of University Jnana Yana Doctoral Fellowship, then he/she shall not be eligible for the Fellowship henceforth consequent to this change over.
4) In case, a Part - Time Research Scholar is desirous to change from Part-Time category to Full-Time category, he/she shall submit a request through the Research Center, to the Registrar along with no objection certificates from the Research Supervisor and Co-Supervisor, if any, and the recommendations of the RAC. The change is allowed only in the first year of the Admission.
5) In all such cases, the decision of the Admissions Committee shall be final and binding on all concerned.
6) Prescribed fees shall be paid by the Research Scholar to the University to regularize the Change of programme from Full-Time to Part-Time and vice versa.

23PHD 11.14. Cancellation of Registration to Ph.D. programme at the request of the Registered Research Scholar

1) In case, a registered Research Scholar is not desirous to continue with the Ph.D. programme, he/she may discontinue the programme at any time, only on getting the registration cancellation order from the Registrar.
2) For cancellation of registration to Ph.D. programme, the following documents shall be submitted to the Registrar.
   (i) Acceptance letter for cancellation of Registration to Ph.D. programme from the Research Supervisor and Co-Supervisor, if any.
   (ii) No due certificate from (a) the Chairperson of the RAC regarding the payment of fess till the year of cancellation (including year of cancellation), (b) Research Center and Department, (c) main and Departmental libraries, hostel, etc. as per requirement.
   (iii) No objection certificate from the Registrar (Evaluation), the Registrar, University Library,Central and Departmental Libraries, Hostel, etc. as per the requirement.
   (iv) the receipt for the prescribed fee paid to the University for cancellation of Registration.
3) The request for cancellation shall be placed before the Executive Council, by the Registrar, for its approval.
4) In all such cases, the decision of the Executive Council shall be final and binding on all concerned.

23PHD 11.15. Cancellation of Registration to Ph.D. Programme by the University

1) The Registrar shall issue notice, on receiving the report from the Research center or from any other sources to the Research Scholar seeking explanation as to why his/her registration should not be cancelled for, under any of the following or any other valid reasons:

a) Unauthorized absence for a period exceeding a month.
b) Non-payment of fees to the College and/ or the University.
c) Research Supervisor expressing his/her inability to continue to supervise because of non- progress of the research work or failure to interact frequently with the supervisor or for any other valid reasons.
d) Registering to pursue some other Full-Time/Part-Time programme of other University or Organization.
e) Joining a Full-Time/Part-Time appointment, having registered under Full-Time category.
f) Not applying for the extension of period after the completion of maximum prescribed period of the Ph.D. programme.
g) Involvement in ragging/major act of misconduct and/or indiscipline.

2) The concerned Research Scholar shall reply within a month from the date of receiving the show cause notice, failing which his/her registration to Ph.D. programme shall be cancelled.
3) The reply from the Research Scholar or the noncompliance report in case of no reply from the Research Scholars hall be placed before the Executive Council for its considerations. The decision of the Executive Council shall be final and binding on all concerned.

23PHD 11.16. Transfer of Scholars from other Universities to VTU

1) Transfer of Research Scholars registered at any other University shall be allowed to continue the Ph.D. programme, provided the Scholars are from other State Universities/ Deemed to be Universities/ defense Organizations/ National Laboratories/ National Research Organizations/ Public Sector Units/State and Central Government Organizations.
2) While applying for transfer, the Candidates shall submit an application to the Registrar, VTU,as per the Annexure - 5.
3) Transfer shall be considered only when the Candidate satisfies the VTU eligibility criteria prescribed for Ph.D. programme.
4) Depending on the stage of Research work completed by the Candidate, the transfer shall be considered provided the Candidate has sufficient time to purse the research work within the allowable maximum period of the programme. The minimum and maximum period of the programme shall be counted from the date of registration at the parent University.
5) The Candidate shall be considered for the VTU Ph.D. programme by extending an exemption to VTU – ETR.
6) In case the coursework of the parent University is not commensurate with the VTU coursework pattern, new course/s shall be prescribed with or without exempting the courses already studied in consultation with BOS Chairperson/Research Field Expert/s.
7) In case, the procedure adopted by the parent University in respect of Comprehensive

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Viva – Voce, Open seminars, Mandatory Publication of papers, Pre- submission Colloquium, and submission of Synopsis covering all the chapters of the Thesis is different from that of VTU, the BOS Chairperson/Research Field Expert/s shall propose the steps to be followed by the Candidate.

8) The date of registration to Ph.D. programme at VTU shall be the date of registration at the parent University.
9) The Scholar shall be permitted to submit the Thesis only after two years from the date of reporting to VTU approved Research Center subject to minimum, maximum and extension period of the programme.
10) With the condition that the Scholars can submit the Thesis only after two years from the date of registration to VTU Ph.D. programme, BoS Chairperson/Research Field Expert/s shall also decide the course of action to be followed by the Scholars. The course of action shall indicate the issues to be covered starting from Coursework, Comprehensive Viva – Voce, Open seminars, Mandatory Publication of papers, Pre-submission Colloquium, and submission of Synopsis covering all the chapters of the Thesis and submission of Thesis.
11) The Registrar shall inform the decision taken by the University to the Scholar, Research Center, Research Supervisor, Research Co-Supervisor (if any) and Registrar (Evaluation) before the enrollment to the Ph.D. programme.
12) Prescribed fees shall be paid by the Scholar to the University for the change of University.

23PHD 11.17. Maintenance of Registration during the validity period

During the period when the registration of the Scholar is in force, the Scholar shall pay the prescribed tuition and other fees to both University and Research Center at the notified time intervals.

23PHD 11.18. Handling of Issues resulting due to Plagiarism

1) The Vice Chancellor shall have the powers to constitute Expert Committees to investigate into plagiarism issues connected with any Ph.D. Thesis submitted to the University, in the case of receipt of complaints either from the adjudicator(s), other individuals or from any other sources before or after the award of Degree.
2) In the event of a Thesis being proved to be copied, plagiarized, or misrepresented academically, the University shall have the powers to rescind the Degree. Such a Scholar shall not be eligible to register for any Degree programme at VTU in future.
3) In such cases, notice shall be served to the Research Supervisor(s) for necessary action as decided by the Authorities of the University.

23PHD 11.19. Repeal and Savings

1) 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.

2) The University shall issue such orders/instructions, and prescribe such format / procedure, as it may deem fit to implement the provisions of these Regulations.

23PHD 11.20. Interpretation and Language

1) Any question as to the interpretation of these Regulations shall be decided by the University, whose decision shall be final.
2) 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.
3) All correspondence with the University regarding the Ph.D. programme, like Reports/ Presentation / Thesis and Viva-Voce examination shall be in English language only.

Annexure – 1

(Corresponding to Research Proposal Presentation under 23PHD 4.3. Pre-Registration Interview)

General Instructions to Research Proposal Presentation at Pre-Registration Interview

a) The scope of Pre- Registration interview shall be to judge,

- **(i)** The Candidate's knowledge and experience in the subject area concerned and his/her preparations to take up the proposed research work.
- **(ii)** Whether the research work can be suitably undertaken at the Research Center/ Institution/College.
- **(iii)** Whether the proposed area of research can contribute to new/additional knowledge.

b) The Candidate appearing for the Pre-Registration Interview shall submit the details in consultation with the probable Research Supervisor/s, to the Registrar, regarding the

- **(i)** Faculty (e.g., Engineering, Applied Science, Management, etc.) in which he/she is desirous of registering.
- **(ii)** Specialization for which the Ph.D. Degree to be awarded [Specialization to be selected from the list of faculties (refer to 23PHD 3.7)].
- **(iii)** Department in which he/she will be pursuing the research, research area and the topic/title. In case of multidisciplinary research, the main Department in which he/she wants to register to pursue the Ph.D. programme.
- **(iv)** Preferably Three name(s) of the Research Supervisors from the VTU approved Research Center/s and the research facilities available at those research Center/s in support of the selected Research area and topic/title.
- **(v)** In case a Co – Supervisor is required, preferably three names of Co – Supervisors.
- **(vi)** Contribution of proposed research to new/additional knowledge. The work that is being proposed should not have been Researched and published.

c) The Candidates appearing for the Pre-Registration Interview shall have to demonstrate to the Committee, how well they are prepared for the research proposal and that they have required competence to pursue the Research. The presentation shall be limited to 10 power point slides. The Candidates shall carry 08 sets of handouts (printed copies) of the presentation to the interview.

d) A research proposal forms a concise summary of the research project. The Research Proposal shall have,

- **(i)** Title Slide: Shall contain proposed Research Topic and name of Candidate.
- **(ii)** Literature Review: Highlights of two or three landmark paper.
- **(iii)** Problem definition: Background of Research topic, with reference to literature survey, that is leading to the present topic of Research.
- **(iv)** Research Methods: A brief description of methods for use to purse Research.
- **(v)** Bibliography and references.

Annexure – 2

(Corresponding to 23PHD 4.3 Pre-Registration Interview)

Pre – Registration Interview Performance Marks Sheet – Page 1 Category: Full- Time Ph.D.

Faculty and Specialisation [For details please refer to the overleaf] for which the Candidates have applied	**Faculty:**
	Specialisation:
	Category of Candidates: VTU - ETR Exempted (Please tick the relevant)
	(i) Candidates qualified in the UGC-NET(including JRF)/ UGC- CSIR NET (including JRF) / SLET / GATE/ CAT or other similar national tests and having qualifying percentile /percentage scores in their respective validity periods. ☐
	(ii) Candidates with M.Phil. Degree or equivalent as recognized by theUniversity. ☐
Maximum Marks for Pre – Registration Interview: 30	**Date of Interview**

Sl No	Name of the Candidate	USN	Academic Performance		Paper		International /National /State level Award (s) / Patent (granted or filed)	Participation in Winter school and summer school (WS/ SS)/workshops (W/s)/ Faculty Development Programmes (FDPs) / MOOCs(through proctored Examination/s)	NSS/NCC/Red Cross and other social services	Research Proposal		Total Marks
			UG	PG	Publication in Journals	Presentation in conferences				Presentation	Viva-Voce	
			Maximum marks									
A	B	C	D	E	F	G	H	I	J	K	L	M
			05	05	02	02	02	02	02	05	05	30
A	B	C	D	E	F	G	H	I	J	K	L	M

Name and Signature
of the Expert Committee members:
Chairperson

Signature
Expert Committee

Annexure – 2

(Corresponding to 23PHD 4.3 Pre-Registration Interview)

Pre – Registration Interview Performance Marks
Sheet – Page 1Category: Part - Time Ph.D.

Faculty and Specialisation [For details please refer to the overleaf] for which the Candidates have applied	**Faculty:**
	Specialisation:
	Category of Candidates: VTU - ETR Exempted (Please tick the relevant)
	(i) Candidates qualified in the UGC-NET(including JRF)/ UGC- CSIR NET (including JRF) / SLET / GATE/ CAT or other similar national tests and having qualifying percentile /percentage scores in their respective validity periods. ☐
	(ii) Candidates with M.Phil. Degree or equivalent as recognized by theUniversity. ☐
Maximum Marks for Pre – Registration Interview: 30	**Date of Interview**

Sl No	Name of the Candidate	USN	Academic Performance		Paper		International /National / State level Award (s) / Patent (granted or filed)	Participation in Winter school and summer schools (WS/SS)/ workshops(W/s)/ Faculty Development Programmes (FDPs) / MOOCs(through proctored Examination/s)	NSS/NCC/Red Cross and other social services	Research Proposal		Total Marks
			UG	PG	Publication in Journals	Presentation in conferences				Presentation	Viva-Voce	
			Maximum marks									
A	B	C	D	E	F	G	H	I	J	K	L	M
			05	05	02	02	02	02	02	05	05	30
A	B	C	D	E	F	G	H	I	J	K	L	M

Name and Signature
of the Expert Committee members:
Chairperson

Signature
Expert Committee

Annexure – 2

(Corresponding to 23PHD 4.3 Pre-Registration Interview)

Pre – Registration Interview Performance Marks Sheet – Page 1Category: Full-Time Ph.D.

Faculty and Specialisation [For details please refer to the overleaf] for whichthe Candidates have applied	**Faculty:**
	Specialisation:
	Category of Candidates: VTU - ETR Qualified
Maximum Marks for Pre – Registration Interview: 30	**Date of Interview**

Sl No	Name of the Candidate	USN	Academic Performance		Paper		International /National /State level Award (s) / Patent (granted or filed)	Participation in Winter school and summer schools (WS/ SS)/workshops (W/s)/ Faculty Development Programmes (FDPs) / MOOCs (through proctored Examination/s)	NSS/NCC/Red Crossand other social services	Research Proposal		Total Marks
			UG	PG	Publication in Journals	Presentation in conferences				Presentation	Viva-Voce	
			Maximum marks									
A	B	C	D	E	F	G	H	I	J	K	L	M
			05	05	02	02	02	02	02	05	05	30
A	B	C	D	E	F	G	H	I	J	K	L	M

Name and Signature
of the Expert Committee members:
Chairperson

Signature
Expert Committee

Annexure – 2

(Corresponding to 23PHD 4.3 Pre-Registration Interview)

Pre – Registration Interview Performance Marks

Sheet – Page 1 Category: Part -Time Ph.D.

Faculty and Specialisation [For details please refer to the overleaf] for whichthe Candidates have applied	**Faculty:**
	Specialisation:
	Category of Candidates: VTU - ETR Qualified
Maximum Marks for VTU – ETRPre – Registration Interview: 30	**Date of Interview**

Sl No	Name of the Candidate	USN	Academic Performance		Paper		International /National /State level Award (s) / Patent (granted or filed)	Participation in Winter school and summer schools(WS/ SS)/workshops (W/s)/ Faculty Development Programmes (FDPs) / MOOCs (through proctored Examination/s)	NSS/NCC/Red Cross and other social services	Research Proposal		Total Marks
			UG	PG	Publication in Journals	Presentation in conferences				Presentation	Viva-Voce	
			Maximum marks									
A	B	C	D	E	F	G	H	I	J	K	L	M
			05	05	02	02	02	02	02	05	05	30
A	B	C	D	E	F	G	H	I	J	K	L	M

Name and Signature
of the Expert Committee members:
Chairperson

Signature
Expert Committee

Annexure – 2

(Corresponding to 23PHD 4.3 Pre-Registration Interview)

Pre – Registration Interview Performance Marks Sheet – Page 2

A.Faculty and Specializations

(1) Faculty of Civil Engineering Sciences:
(i) Civil Engineering (ii) Environmental Engineering (iii) Geology.

(2) Faculty of Mechanical Engineering Sciences:
(i)Mechanical Engineering (ii)Industrial and Production Engineering (iii)Automobile Engineering (iv)Industrial Engineering and Management (v)Manufacturing Science and Engineering.

(3) Faculty of Electrical and Electronics Engineering Sciences:
(i)Electrical and Electronics Engineering. (ii)Electronics and Communication Engineering (iii)Telecommunication Engineering (iv)Electronics and Instrumentation Engineering.

(4) Faculty of Computer and Information Sciences:
(i)Computer Science and Engineering (ii)Information Science and Engineering.

(5) Faculty of Technology:
(i)Chemical Engineering (ii)Polymer Science (iii)Silk/Textile Technology (iv)Biotechnology (v)Food Technology (vi)Bio-Medical Engineering (vii)Medical Electronics Engineering (viii) Mining Engineering (ix)Marine Engineering (x)Mechatronics Engineering (xi)Aerospace Engineering (xii) Nanotechnology.

(6) Faculty of Management:(i)Management.

(7) Faculty of Applied Sciences:
(i)Physics (ii)Chemistry (iii)Mathematics (iv)Computer Applications

(8) Faculty of Architecture:
(i)Architecture.

(B) Academic Performance (Note: UG: Undergraduate, PG: Postgraduate)**:**
$Conversion\ formula\ from\ CGPA\ to\ \%\ of\ Marks = (CGPA - 0.75) \times 10.$

(i) Marks for I Class Distinction [CGPA $\geq 7.75\ or \geq 70\ \%\ marks$]: 05.
(ii)Marks for I Class [CGPA $\geq 6.75\ but < 67.75\ or \geq 60\ \%\ but < 70\ \%$ $marks$]: 03.
(iii)Marks for II Class [CGPA $< 6.75\ or < 60\ \%\ marks$]: 01.

(C) Publications, Award(s) and Knowledge Enhancing Activities:
(i) Publications in Journal/s: One paper: 01 Mark, More than one paper: 02 Marks.
(ii)Presentation in conference/s: One paper: 01 Mark, More than one paper: 02 Marks.
(iii)International/National /State level Award(s)/Patent (awarded or filed): For any: 02 Marks.(iv)WS/SS/W/s/FDPs/MOOCs: Any one: 01 Mark, More than one: 02 Marks.

(D) Social Service Activities
Participation in any or all of NSS/NCC/Red Cross and other social services: 02 Mark

(E)Instructions to be followed by the Members of Pre-Registration Expert Committee
(1) A minimum of two marks shall be allotted to all Candidates who participate in presentation and Viva – Voce.
(2) Zero marks shall be awarded, in case the Candidates who have not fulfilled the

requirements.

(3) In case of absentees, please mark AB against the total marks.

(4) After the interview, the Expert Committee shall upload the final marks of the Candidatesto the University website via the web link https://jnanashodha.vtu.ac.in.

Annexure - 3

[Corresponding to 23PHD 6.2 Ph.D. Programme Coursework]

Number of coursework courses to be completed

by the Scholars provisionally registered for Ph.D. programme

Faculty	Specialization	Prescribed number of Courses
1) Faculty of CivilEngineering Sciences	**(i)** Civil Engineering	04
	(ii) Environmental Engineering	04
	(iii) Geology	06
2) Faculty of MechanicalEngineering Sciences	**(i)** Mechanical Engineering	04
	(ii) Industrial and Production Engineering	04
	(iii) Automobile Engineering	04
	(iv) Industrial Engineering and Management	04
	(v) Manufacturing Science and Engineering	04
3) Faculty of Electricaland Electronics Engineering Sciences	**(i)** Electrical and Electronics Engineering.	04
	(ii) Electronics and Communication Engg.	04
	(iii) Telecommunication Engineering	04
	(iv) Electronics and Instrumentation Engg.	04
4) Faculty of Computer and Information Sciences	**(i)** Computer Science and Engineering	04
	(ii) Information Science and Engineering.	04
5) Faculty of Technology	**(i)** Chemical Engineering	04
	(ii) Polymer Science	04
	(iii) Silk/Textile Technology	04
	(iv) Biotechnology (Engineering/Science)	04/06
	(v) Food Technology (Engineering/Science)	04/06
	(vi) Bio-Medical Engineering	04
	(vii) Medical Electronics Engineering	04
	(viii) Mining Engineering	04
	(ix) Marine Engineering	04
	(x) Mechatronics Engineering	04
	(xi) Aerospace Engineering	04
	(xii) Nanotechnology (Engineering/Science)	04/06
6) Faculty of Management	**(i)** Management.	06
7) Faculty of AppliedSciences	**(i)** Physics	06
	(ii) Chemistry	06
	(iii) Mathematics	06
	(iv) Computer Applications	06
8) Faculty of Architecture	**(i)** Architecture.	04

Annexure -4

[Corresponding to 23PHD 8.2 Submission of Synopsis and the Ph.D. Thesis]

Documents to be uploaded along with the submission of Synopsis

CHECK LIST OF DOCUMENTS TO BE UPLOADED ONLINE AND FINAL SUBMISSION OF HARD COPY OF Ph.D SYNOPSIS/THESISTHROUGH THE RESEARCH CENTRE (DOCUMENTS ARE PROCESSED AS PER REGULATIONS)

(Tick Mark)

1.	Copy of Office Order of Ph.D Registration**(Attested copy)**	
2.	Copy of Course Work Completion Certificate**(Attested by Guide)**	
3.	Copy of the Comprehensive Viva Voce Results Issued from VTU**(Attested by Guide)**	
4.	Approval letter issued from VTU for Change of Thesis Title, Branch, Guide,Research Center, Inclusion and Omission of Co Guide **(Attested by Guide)**	
5.	Adjudicator format 1 (Available in the website of VTU)	
6.	No dues certificate from research center**(Principal/Chairperson signature is Must)**	
7.	Certificate from Guide / Co-Guide	
8.	Letter of submission from the Guide / Co-Guide**(Signature is Must)**	
9.	Evidential proof from HOD and Head of Research Center (Principal) for having been conducted open seminar 1 **(Duly signed by doctoral committee members)(As per VTU format)**	
10.	Evidential proof from HOD and Head of Research Center (Principal) for having been conducted open seminar 2 **(Duly signed by doctoral committee members)(As per VTU format)**	
11.	Pre submission colloquium report from guide through HOD and Head of Research Center (Principal)**(Duly signed by doctoral committee members)(As per VTU format)**	
12.	Letter from research centre having checked all **(As per VTU format)** i) Residence Certificate for part time scholars only (Head of the signature is Must) ii)Six months Progressive Reports for both part time and full time scholars	
13.	Hard copies of One Q1 to Q3 Journal paper published + No. of Additional papers published --- Total = 1 + = **(Scholar Name + Guide Name must be there in journal papers, duly signed by doctoral committee members)**	
14.	Enclose Online Fee payment receipt for : i) Thesis submission Fee = (SBI collect Reference No ---) ii) Defense Fee = (SBI collect Reference No ---) iii)Late Submission/Extension Fee = (SBI collect Reference No ---) Total = (Ensure Total fees paid above (i) and (ii) at time of submission of synopsis only)	
15.	Signed closed Panel of Examiners consisting six from Group A and Six from Group B **Group – A – NIT/CENTRAL/ STATE UNIVERSITY(As per Regulations)** **Group –B -FOREIGN UNIVERSITIES/IIT/IISc/IIM (As per Regulations)** **(Must mention NIRF & QS WORLD Ranking of Colleges/ Universities)** **Note: Online submission of Panel of Examiners through Portal should be same as the Hard copy submitted** *****Should send 3 relevant papers details (Title, Author, Journal, Volume, Year, DOI) from each Examiners in the same domain, duly signed by doctoral committee members along with closed panel of examiners. Do not send the Hardcopies of the published papers of Examiners. (As per VTU format)**	

Note: Plagiarism Check will be initiated only if complete final thesis is uploaded online and after receipt of Hard copy as per check list

17.	The thesis should consist of all the below said documents with signed copies with seal wherever necessary (Cover Page, Guide signature on Certificate, Declaration, Acknowledgement, Abstract, Index (Table of Contents), List of Tables, Figures, chapter wise details, Conclusions, Publication list, References etc.) **Carefully upload the thesis with taking precaution like, type correct USN, Scholar Name, Branch, Correct thesis title without spelling mistake.** **Once the data is submitted the online link cannot be open at any reason.**	
18.	All Mandatory documents (single copies of documents as specified above from serial no. 1 to 14 should be uploaded in a single pdf file with zipped(.zip) **as per VTU formats only**	

1. **Upload the softcopy in thesis tracker and process will be initiated after verification of received Hard Copies.**
2. **Write the serial number of each document in the right corner without fail.**
3. Online upload Research Scholar Name, USN, Thesis Title in capital letters, as per Approved letter issued from VTU. Online uploaded Research Scholar Name, USN, Thesis Title are considered for **PDC** and **Convocation Certificates**.

Important Note:If above mentioned documents are not received in proper format such scholar documents will not be processed at any reason and it will be sent back to Research Centre.

All documents to be prepared as per VTU format refer ---- URL :(https://vtu.ac.in/en/ph-d-by-research-2/)

Annexure -5
[Corresponding to 23PHD 11.17 Transfer of Scholars from other Universities to VTU]

Transfer of Scholars from other Universities to VTU

While applying for transfer from other Universities to VTU, the Candidates shall submit an application to the Registrar, VTU, with the following details and attaching the relevant documents to support the claim.

1) Name and address.
2) Contact numbers.
3) Email address.
4) Aadhar Card Number.
5) Graduate and postgraduate level qualifications.
6) Research specialization field and topic.
7) Category of Research programme under which the Candidate has registered at the parent University: Fulltime or Part – Time.
8) Date of registration to Ph.D. programme at the parent University.
9) Courses of the Ph.D. coursework and their status; completed or yet to be completed.
10) Detailed report on the progress achieved in the research work.
11) No objection certificates (NOCs) from the employer, parent University (allowing to continuethe research work elsewhere), Research Center where the Candidate is keen to continue the research.
12) Acceptance letter/s from VTU Research Supervisor/s to guide the Candidate under consideration.
13) Transfer letter issued by the employer.
14) An undertaking from the Candidate stating that the Rules and Regulations of VTU shall be adhered strictly.
15) Original or attested Photo copy of parent University Regulations Governing the Ph.D.programme.