

# VISVESVARAYA TECHNOLOGICAL UNIVERSITY, BELAGAVI



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



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**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, including in academia, government and industry. The NEP- 2020 mandates that Universities shall plan to make the 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, assess research progress, enable students to conduct quality research within the specified period, and fairly adjudicate 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 (Award of M.S. (Research)/ Ph.D. Degree) Regulations, 2018 and its amendments, including all other previous Regulations for awarding M.S.(Research)/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 also be applicable for 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

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) 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 a Higher Educational Institution;
- 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 School/Department/Centre to be undertaken by a student registered for the Ph.D. Degree;
- 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 course 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](https://doi.org/10.1109/ICCSRE.2019.8807726)) assigned by a publisher for identifying an



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- 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 no part of the Higher Educational Institution where the Ph.D. 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, 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) “Guide/Research Supervisor” means an academician/researcher recognized by Higher Educational Institution to supervise the Ph.D. scholar for his/her research;
  - 28) “Higher Educational Institution” means a university or institution specified under clause 2 of Regulation 1 of these Regulations;
  - 29) “Interdisciplinary Research” means research conducted by a Ph.D.scholar in two or more academic disciplines;
  - 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 Research Advisory Committee highlighting the research work before submission of the final thesis.
  - 35) “Programme” means a planned series of events/activities comprising of a combination



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of courses and activities leading to the award of Ph.D. Degree.

- 36) “Prospectus” means any document, whether in print or otherwise, issued for providing fair and transparent information relating to a Higher Educational Institution and programmes, to the general public (including to those seeking admission in such Higher Educational Institutions) by the Higher Educational Institutions;
- 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 as per UGC norms for guiding the Research Scholars and approved by the RQAC.
- 44) “Research Proposal” means a brief write-up giving an outline of the proposed research work which the Ph.D. 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. 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” 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



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in academic writing among students, Research Scholars, and faculty. CARE stands for Consortium for Academic and Research Ethics.

- 51) “University” means the Vesvesvaraya Technological University established under Section 3 of the Act.
- 52) “Vice Chancellor” means the Vice Chancellor (VC) 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 matter 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](http://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 (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.
- (2) Provided, in exceptional circumstances, the University, on the recommendation of the Research Advisory Committee and approval of the Vice Chancellor, may extend the duration of the Programme, for a maximum period of another two (2) years. 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.
- (3) 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 thesis within the extended period, their Ph.D. registration shall lapse automatically.
- (4) Provided further that, female Ph.D. 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.
- (5) Female Ph.D. 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 Academic Council, shall be notified at least a month before the commencement of each academic year. It is mandatory for 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, its constituent college and selected affiliated colleges where the research facilities and support is available. The admission of students and specializations offered at these places is subjected to the availability of approved Research Centres, Faculty of Studies and the Research Supervisors in the concerned Faculty.

- 2) Eligibility conditions for admission shall be as given below.

### **23PHD 2.1. Minimum Qualifications to be Satisfied**

The Qualification criteria for admission to the Ph.D. programme in different Faculties shall be:

#### **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 University recognized by VTU, 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) Any foreign University Degree holders (UG&PG) are required to submit AIU equivalence Certificate.

#### **23PHD 2.1.2. Faculty of Management**

- 1) Candidates with regular mode PG Degree

The Candidates shall possess 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) Candidates with regular mode PG Degree

The Candidates shall possess 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.

#### **23PHD 2.1.5. Programme in Interdisciplinary Subject Areas**

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

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 of 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.

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.

2) Candidates who have 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 to Full time Ph.D. programme.
- (2) Candidates who take up Ph.D. programme on Fulltime basis shall not be allowed to take up any employment during the period of Ph.D. programme.  
However, they can receive Scholarship/ fellowship/ stipend/ assistantship, if any, with an intimation to the Registrar.
- (3) Candidates under ADF/QIP /FIP shall be eligible to pursue Ph.D. research only on full time basis.
- (4) ADF/QIP /FIP Candidates, who take up Ph.D. Programme on Fulltime basis, shall produce NOC from their Employer/Organization(s) with a sanctioned study leave for a minimum period of three years with full salary.

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

- (1) Ph.D. programmes through part-time mode will 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) Notwithstanding anything contained in these Regulations or any other law, for the time being in force, the University shall not permit conduct 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 Research Advisory Committee till the submission of the final Synopsis covering all the chapters of the Thesis.

### **23PHD 2.4. Admission of International Students in Ph.D. Programme**

- (1) Each supervisor can guide upto two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause (7) below.
- (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) Fulltime Candidates shall be given preference to pursue the Ph.D. programme.

**23PHD 2.5.** For 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 standard 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.
- 2) The Research Scholars provisionally registered for Ph.D. Programme shall be allotted a suitable Research Supervisor 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 prerequisite 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 to the same to the University for adjudication.



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- 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 or Boards, as required 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 follows:

**23PHD 3.2. Research Policy Apex Committee (RPAC)**

The composition of Research Policy Apex Committee:

- |  |                    |
|--|--------------------|
| (i) The Vice Chancellor                  | – Chairman         |
| (ii) Nominee of the Executive Council    | – Member           |
| (iii) Nominee of the Academic Senate.    | – Member           |
| (iv) One expert from R & D from Industry | – Member           |
| (v) Dean VTU                             | - Member           |
| (vi) Registrar, VTU                      | – Member Secretary |
| (vii) Registrar (Evaluation).            | – Member           |
| (viii) Director, R & D, VTU              | – Member convenor  |

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

- (i) Lay down the policy relating to Research Programmes from time to time.
- (ii) Resolve issues raised by the Admissions Committee, Research Advisory Committee, Research Quality Assurance Committee, Registrar, and Registrar



(Evaluation).

(iii) 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 (AC)**

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:

- |  |                    |
|--|--------------------|
| (i) Vice Chancellor                    | – Chairman         |
| (ii) Dean of the Faculty.              | – Member           |
| (iii) Nominee of the Executive Council | – Member           |
| (iv) Nominee of the Academic Senate    | – Member           |
| (v) Registrar (Evaluation)             | – Member           |
| (vi) Director, R &D, VTU               | – Member Convenor  |
| (vii) Registrar, VTU                   | – Member Secretary |

If required, the Vice Chancellor shall nominate additional members.

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

- (i) Identification and notification of intake to Research Programmes.
- (ii) Scrutinizing of 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).
- (iii) Organizing the eligibility/ entrance test for admission to Research Programmes.
- (iv) Organizing evaluation of the answer scripts (OMR sheets).
- (v) Preparation of the merit- list(s) of Candidates based on the VTU-ETR score in percentage format.
- (vi) Deciding on the number of Candidates from the merit list(s) to be called for pre- registration interview.
- (vii) Conducting pre-registration interview for such short listed Candidates.
- (viii) The implementation of Reservation Policy in the admission process.
- (ix) Conducting such other tasks connected with the admission of the Candidates for the Research Programmes of the University, recognized Research Centers and Colleges.
- (x) Finalize the list of candidates to be admitted 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 Ph.D. 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:**

- (i) 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**
- (ii) Head of the Department of the VTU affiliated College or School of Studies/ Head or in charge Scientist of Research Centers located at State, Central, Private, Corporate Organizations/ Research laboratories/ Institutions and Industries./ Director or Nominee of the Vice Chancellor for the University Department – **Member**
- (iii) An expert in the same domain of the Research Scholar, nominated by the Vice Chancellor as per section (5) below. – **Members**
- (iv) Research Supervisor – **Member Convener**
- (v) Co-Supervisor (if any) – **Special Invitee**

#### **23PHD 3.4.1.1. Appointment of RAC Members:**

- (1) The Research Advisory Committee constituted for each Scholar shall have members possessing Ph.D. Degree in the relevant field.
- (2) However, the condition under (iii) 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 Research Advisory Committee, 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 also an alternate standby.
  - (ii) Can also set aside the proposed list of experts, to appoint alternate experts.
- (c) In case, any person under section 23 PHD3.4.1 [2(i) and 2(ii)] of the Research Advisory Committee is a Research Supervisor/ Co – Supervisor of the Scholar, and any person under serial number 2(i) has a possibility of appearing under both serial number 2(i) and 2(ii),  
then, the Vice Chancellor shall appoint an alternate Chairperson/Member for Research Advisory Committee by selecting one of the members from a panel



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[prepared in consultation with the Research Supervisor(s)] of four domain experts (external to the College) submitted, to the Registrar, by the authorised person under serial number 2(i).

- (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 Research Advisory Committee 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 Research Advisory Committee.
- (4) The members shall serve the Research Advisory Committee, 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 Research Advisory Committee after receiving the names of additional experts from the Chairperson of the Research Advisory Committee 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 Research Advisory Committee 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 Research Advisory Committee 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 subject domain.
- 3) The RAC shall review the research proposal and approve the topic of research.
- 4) Guide the Ph.D. 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 for extension of 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 Research Advisory Committee 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 to <https://jnanashodha.vtu.ac.in> by the Research Supervisor.
- 10) Each semester, a Ph.D. scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University. A copy of such recommendations shall also be provided to the Ph.D. 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 Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research Scholar fails to implement these corrective measures, the Research Advisory Committee may recommend with specific reasons for cancellation of the registration of the Research Scholar.
  - 15) The Research Advisory Committee 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 be marked to the Registrar (Evaluation)].
  - 16) The decision of the Research Advisory Committee, 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 Research Advisory Committee 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.                                | – Member                 |
| 3) One External Expert, nominated by the Vice Chancellor         | – Member                 |
| 4) Head of the Research Centre or his nominee<br>(If applicable) | – Member                 |
| 5) Internal/External Special Invitee (optional)                  | – by the Vice Chancellor |
| 6) Registrar, VTU  | – Member Secretary       |
| 7) Registrar (Evaluation)  | – Member                 |
| 8) Director, Research and Development.                           | – Member Convener        |

#### **23PHD 3.5.2. The Scope of the Committee**

- 1) Approve eligible faculty, eminent scholars, scientists, or academicians from other Institutions- 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 Research Advisory Committee 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, reserve 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 Scholar soon after the receipt of favourable reports from all the adjudicators. The Board shall have the following composition:
  - (i) Principal of the College under 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/ Research Organizations/ Research Institutions – **Ex-officio  
Chairperson**
  - (ii) Research Supervisor – **Member convenor (Examiner)**
  - (iii) Co- Supervisor (s), if any – **Member (Examiner)**
  - (iv) Identified Adjudicator – **Member (Examiner)**
- 2) The Board shall conduct the final viva-voce for the Scholar to defend his/her Ph.D. Thesis.
- 3) The board shall submit its detailed report in the prescribed format to the Registrar (Evaluation).

### **23PHD 3.7. Any 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. Faculties of Studies**

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

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.

<b>Faculty of Studies</b>	<b>Specialization</b>
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) 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
<i>*The Admissions Committee shall recommend appropriate faculty for the award of</i>	



*Ph.D. Degree based on the profile of the Scholar, the Specialization of the Research Supervisor, Research topic, etc.  
This shall equally be applicable to cases belonging to other Faculties and Specializations in unforeseen circumstances.*

## **23PHD 4.0. ADMISSION PROCESS**

**23PHD 4.1.** The admission process to the Ph.D. Programme shall be as follows:

- 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 from time to time.
- 2) 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 **VTU-ETR**, conducted at the level of the University. The Entrance Test syllabus shall consist of 50% of research methodology, and 50% shall be subject- specific.
  - iii. Students who have secured 50% marks in the entrance test are eligible to be called for the interview.
  - iv. 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.
  - v. HEIs may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.
  - vi. 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.
- 3) Universities and Colleges 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.
- 4) The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/ centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D.



scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.

### **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 VTU 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**

Application from the eligible Candidates shall be submitted as follows:

All eligible Candidates satisfying the requirements as in 23PHD 2.5 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 approval of 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.
- 2) All eligible Candidates not covered under 23PHD 4.2.2. shall appear for the VTU-ETR which shall be conducted to determine the Candidate's aptitude for research. 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) BOE shall assist Registrar (Evaluation) in getting 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 on scheduled date and at scheduled Centers for 100 marks.
- 2) After the evaluation of OMRs for 100 marks, the marks secured by the Candidates shall be scaled down to a maximum of 70 marks.
- 3) Eligibility of Candidates for Pre-Registration Interview shall be as per the qualifying marks based on the scaled down marks of 70.
- 4) 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.
- 5) Without disclosing the secured marks of the Candidates, the list of Candidates having a VTU-ETR score of  $\geq 35$  (50 % of the 70 marks) in the case of General category and  $\geq 31$  (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 shall upload,
  - (i) the research proposal,
  - (ii) preferably three names of Research Supervisors and Research Co- Supervisors (if required),
  - (iii) 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. 5.4.5) and other details to the University website using the web link <https://jnanashodha.vtu.ac.in>.
- 2) Only those Candidates having a VTU-ETR score of  $\geq 35$  marks in case of General category and  $\geq 31$  marks in case of SC/ST/OBC (Non-Creamy layers)/Differently-abled category shall be in the list(s) of shortlisted Candidates for being called for the pre-registration interview.

##### **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 VC shall constitute Expert Committee for each specialization of the faculty to which the Candidates are being 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 Fulltime/Part – Time Ph.D. programme and called for Pre-Registration Interview shall present the research proposal (as per the annexure-1) and face 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 University format).
- 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 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 (including JRF)/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 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.

- 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 as the final one.

- 6) On approval of the merit lists by the Admissions Committee, the Registrar shall notify the same on VTU 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 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 an instruction that the Candidates to 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.





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- 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) from the second last date with no further extension.
- 5) In case, the seats allotted for SC/ST/OBC (Non Creamy layer)/specially 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 by all.
- 7) No change of approved Faculty of Studies (selected from 23PHD 3.5) 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, Proposal/Outline in the University prescribed format and University fees paid receipt for the provisional Ph.D. registration to the Registrar through the Research Center concerned for the purpose of provisional registration to the Ph.D. programme. This shall be mandatory for all the 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 Research Advisory Committee, as per 23PHD 3.3.1.
- 4) Upon receiving the research proposal / outline, the panel of domain experts, proposed names of other members of the Research Advisory Committee and fees paid receipt for the University prescribed amount, the Vice Chancellor shall constitute the Research Advisory Committee as per 23PHD 3.3.1.

**23PHD 5.0. ALLOCATION OF RESEARCH SUPERVISORS**

Allocation of Research Supervisor and if required, Research Co- Supervisor shall be



done by the University following these Regulations.

**23PHD 5.1.** Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per supervisor, etc.

- 1) Permanent faculty members working as Professor/Associate Professor of the University, its constituent colleges, affiliated colleges, with a Ph.D., and at least five research publications in peer reviewed or refereed journals and permanent faculty members working as Assistant Professors in these Institutions with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the University where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a University under the supervision of a faculty member who is not an employee of the University or its affiliated Post-graduate Colleges/ institutes would be in violation of these Regulations.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by the University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.

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.

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 competent authority.

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

- 2) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/ University may be appointed.
- 3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8)/ six (6)/ four (4) Ph.D. scholars, respectively, at any given time.
- 4) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the 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 scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- 5) 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 Ph.D. scholars who are already registered



until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 65 years.

- 6) At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause (3) above and clause 23PHD 5.4.(5).

### **23PHD 5.2. Eligibility for Recognition as Research Supervisor/ Research Co - Supervisor**

- 1) A full-time regular Faculty member working in a VTU approved Research Center located at University Department/ Constituent College/ affiliated College under VTU (Autonomous and Non-Autonomous)/ VTU recognized Research Center at other Academic and Research Institutions/ Scientist or Engineer working on regular basis in a VTU recognized research establishment or industry shall be eligible for recognition as Research Supervisor/ 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.
- 2) A person seeking recognition as Research Supervisor/ Research Co-Supervisor shall possess the Research publications to his/her credit as under:
  - (i) **Professor Cadre:** Must have at least five research publications, of which one publication must be in a UGC Care journal or in a journal indexed under SCOPUS/SCI/WOS.
  - (ii) **Associate Professor Cadre:** Must have at least five research publications, of which one must in a UGC CARE journal or in a journal indexed under SCOPUS/SCI/WOS.
  - (iii) **Assistant Professor Cadre:** Must have at least three research publication of which one must be in a UGC Care journal or in a journal indexed under SCOPUS/SCI/WOS.

In case of persons from Research establishments/industries, the requirements would be mapped with one of the above referred cadres.

- 3) Persons working in other recognized Universities/Academic and Research Institutions /Scientists or Engineers on regular basis in research establishments or industries and not having a Research Center approved by VTU, shall be considered only as Research Co-Supervisors.



### **23PHD 5.3. Procedure for Recognition as Research Supervisor/ Research 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 5.2(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 AS and EC.
- 6) On approval by the University Authorities, each Research Supervisor/ Research Co-Supervisors shall receive an Office Order from the Registrar for having recognized him/her as a Research Supervisor Research Co-Supervisors.
- 7) The list of Research Supervisors/ Research 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 5.4. Allotment of Candidates to Research Supervisors**

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

- (1) There shall be a possibility of allowing a Research Co-Supervisor in addition to Research Supervisor for a Scholar registered for the Ph.D. Degree at a Research Center.
- (2) In the case of interdisciplinary subject area(s), a 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 at a time as a Supervisor or as a Co-Supervisor for Scholars pursuing Ph.D. /M.S. (Research)/ Integrated Ph.D.  
The sum of number of Scholars for supervision/guidance belonging to Ph.D./M.S. (Research) and Integrated Ph.D. shall not be more than:



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- (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) 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 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 Scholars permitted to be supervised /guided. (Scholars may be pursuing Ph.D./ M.S. (Research)/ Integrated Ph.D.)	General Merit Scholars	SC/ST/Cat - I Scholars	Specially abled or any other reserved category Scholars (i.e., IIA, IIB, IIIA and IIIB)	Foreign National Scholar/s
Professor	08	04	01	01	02*
Associate Professor	06	03	01	01	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.				
* If a Research Supervisor/ Research Co-Supervisor does not enroll Foreign National Scholar/s, the vacant seat/s shall be shifted to General Merit.					

- (6) 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.
- (7) The University shall follow the Reservation Policy of GoI and GoK as applicable from time to time, for the total number of Scholars allotted to Supervisors in an academic year.



- (8) Allocation of Scholars (new or transferred under change of Research Supervisor/ Research Co-Supervisor) to Research Supervisor/Co-Supervisor shall not be more than 25% of the permitted allocation during an academic year [2 Scholars for Professor cadre, 02 for Associate Professor cadre and 01 for Assistant Professor cadre, with reference to 23PHD 5.4(4)].
- (9) New Scholars for supervision 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/ Research Co-Supervisor is working submits an under taking that the concerned Research Supervisor/ Research Co-Supervisor shall be continued till the candidate completes his programme.

### **23PHD 5.5. Responsibilities of Research Supervisors**

- 1) No Research Supervisor/ Research Co-Supervisor shall supervise his/her close relative or spouse for Ph.D. Degree of VTU.
- 2) A Research Supervisor/ Research Co-Supervisor recognized by VTU shall not be a Research Scholar concurrently under this University.
- 3) The Research Supervisors and Research 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, the Research Supervisors fails to report the change of working place to the Registrar, the University shall initiate action for derecognition of the Research Supervisorship by the Admissions Committee.
- 6) In case, the University allots Scholar/s in needy circumstances without the consent of the Research Supervisors/Research Co - Supervisors, the Supervisors shall accept the responsibility of supervising the Research Scholar/s.
- 7) Every Research Supervisor/Research Co - Supervisor shall supervise at least one Ph.D. 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/Research Co - Supervisor shall stand withdrawn. In such a case, fresh registration shall be sought if required by the faculty members, Scientists/Engineers by going through the procedure outlined under 23PHD 5.3(2).





## **23PHD 6.0. COURSE WORK AND CONFIRMATION OF REGISTRATION**

The Research Scholars shall register for requisite number of courses. and complete the course work within first two years. The course work shall be treated as prerequisite 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.

### **23PHD 6.1. Course Work**

- (1) The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including “Research and Publication Ethics” and “Research Methodology” courses. The 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 Research Advisory Committee and approval of the University.
- (2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/ education/ pedagogy/ writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluations.
- (3) A Ph.D. 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 submit his or her thesis.
- (4) Scholars taking courses through online shall submit NPTEL course completion certificate.

### **23PHD 6.1. Schedule of events after Provisional Registration**

- 1) After provisional registration, the 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 Scholar at the end.

- 2) The Coursework for all Full-Time and Part - Time Scholars shall be as prescribed under 23PHD 6.2.
- 3) All the Ph.D. registrations shall be provisional initially and shall be confirmed only on the successful completion of both Part-I and Part-II.

### **23PHD 6.2. Programme Coursework (Part – I)**

- 1) The coursework shall be treated as prerequisite for preparing the Scholars for Ph.D. Degree.



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- 2) Scholars provisionally registered for Ph.D. programme shall have to complete the prescribed coursework.
- 3) The number of courses of the coursework to be completed shall be as per the annexure-3.
- 4) Out of the total prescribed courses, one course namely, Research and Publication Ethics (RPE) as per UGC [Under Group – 0 of VTU] shall be compulsory for all Scholars. The remaining courses shall be pertaining to their Research area.
- 5) 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 Research Advisory Committee concerned.
- 6) 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.
- 7) The minimum marks for a pass in each course of the coursework shall be 55 out of maximum marks of 100.
- 8) To promote responsible conduct of research, the Scholars who have not studied the course Research Methodology and IPR/Research Methodology, shall have to complete the said course as additional course. This course shall not be a part of Part – I. However, completion of the course, through an examination conducted at the Research Center by the Research Supervisor, before pre-submission colloquium, is mandatory for the award of the Ph.D. Degree. The Research Advisory Committee shall prescribe the said course, in case the Scholar has not studied, and endorse the completion of the same in its half yearly report.
- 9) Apart from the prescribed courses under coursework, the Research Advisory Committee along with the Research Supervisor can propose one or two optional audit courses that are essential to the Research work. The Scholar shall be evaluated in the optional audit courses at the Research Supervisor level.
- 10) Based on the recommendations of the Research Advisory Committee [Addressed to Registrar], change of registered course/s for which the 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 Scholar.  
No permission shall be accorded for change of course/s for which the 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) The University shall reserve its right to revise and notify the approved courses in the





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

group(s) from time to time.

### 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) The Registrar shall notify the calendar regarding the coursework classes to be conducted by the Research Centers.
- 3) 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.
- 4) For assigning the grades to the marks secured in a course by Research Scholars, the following letter grades shall be used.
- 5) The prescribed 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 Scholar.
- 6) Scholars shall pass all the prescribed courses in a maximum of four attempts. The four attempts refer to the first four consecutive coursework examinations conducted by the University from the date of provisional registration of the Scholar to the Ph.D. programme.
- 7) 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.
- 8) The minimum attendance to be satisfied by a Scholar in a course of a coursework shall be 75%. This shall be certified by the Research Advisory Committee in its half yearly



report.

- 9) In case the Scholar fails to satisfy the attendance requirement of any course(s), the Scholar shall have the opportunity to repeat the teaching –learning process and complete the course/s in not more than four consecutive University coursework Examinations conducted from the date of Provisional Registration of the Scholar to Ph.D. programme.
- 10) The provisional registration of Scholars failing to complete the coursework in four consecutive University coursework Examinations conducted from the date of Provisional Registration to Ph.D. programme, shall be cancelled. Such names shall be recommended by the Research Advisory committee and, on approval from the Vice Chancellor, the Registrar shall notify the cancellation of registration of Scholars on University website and intimate the same to Research Supervisor(s), Research Center, and the Scholars.
- 11) The University shall issue Grade Card to the Scholars every semester for the registered courses.
- 12) (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 Scholars shall mandatorily attend the course. The Scholars shall pay the prescribed University fees for undergoing the course.  
(ii) The University examination in RPE shall be conducted along with the other coursework examinations.
- 13) Scholars shall submit the applications with the relevant 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 Chairperson, BOE.
- 2) Each question paper shall be set for a maximum mark of 100 and it shall have similar format as prescribed for the Master's Degrees of VTU.
- 3) The question paper setters and answer script valuers shall have Ph.D. Degree in the relevant field.

#### **23PHD 6.5. Evaluation of Coursework Answer Scripts**

- 1) Coursework answer scripts of all the Scholars shall be evaluated independently by two valuers.
- 2) If the difference between the marks awarded by the two valuers is  $\leq 14\%$ , the marks awarded to the Scholar shall be the average of the two valuations.
- 3) If the difference between the marks awarded by the two valuers is  $\geq 15\%$ , a third examiner shall be appointed to evaluate the answer script(s) concerned. The average of the marks of the nearest two valuations shall be considered as the marks secured by the



Scholar. 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 Scholar.

### **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 Research Advisory Committee, along with all the relevant documents, shall recommend to the Registrar for issuance of notification to the Scholar on Confirmation of Registration.
- 2) With the approval of the Admissions Committee, the Registrar shall issue a Notification.
- 3) The Notification shall specify the date from which the Scholar's registration for the Ph.D. programme is confirmed.

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

The University admits candidates for research programmes on Full-Time and Part-Time basis as per Section 23PHD 2.2 and 23PHDP 2.3 of this Regulation. Full-Time Research Scholars are eligible for Ph.D. fellowships and 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 will be offered University 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 computers 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 against such cases.

### **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 2/3<sup>rd</sup> 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 School 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 may also involve in the development of curriculum and learning resources for UG/ PG courses along with the faculty members of the respective School 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 School of Studies/Department. He may also involve in promoting industry-institution interaction.
- 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 programs, 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, supporting 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 School of Studies from time to time with the concurrence of the 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 School of Studies/ Department. He may also involve in promoting industry-institution interaction.
- 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 School of Studies from time to time with the concurrence of the 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 progress.

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

- 1) (i) The Research Advisory Committee shall review the research progress of the Scholar for every six months until the submission of the 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 half yearly report.  
(iv) In case, the Part-Time Scholar has not satisfied the residence period, the half yearly report shall be marked 'not satisfactory'.
- 2) Each Scholar shall submit a research progress report in the University format to the Research Advisory Committee, 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 the future. Research papers prepared/ published, if any, shall also be submitted.
- 3) The Scholar shall make oral presentation of the research progress before the Research Advisory Committee.
- 4) The Research Advisory Committee shall communicate the research progress or otherwise of the 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 Research Advisory Committee shall be free to recommend the cancellation of Pre – Registration to Ph.D. programme of the 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 Research Advisory Committee shall issue a show-cause notice to the Scholar, seeking his/her explanation.
- 3) If the decision of the Research Advisory Committee regarding the cancellation of registration on receipt of Scholar's explanation is not agreeable to the Scholar, he/she shall be free to 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 and Part-Time Scholars shall appear for the comprehensive Viva-Voce after three 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 case of Fulltime Scholars, and within four years from the date of provisional registration in case of Part-Time Scholars, the admission of the Scholars shall stand automatically cancelled.

#### **23PHD 7.2.2. Scheduling Comprehensive Viva-Voce**

- 1) The Research Center, on receipt of the written request from the Scholar for the conduct of comprehensive Viva-Voce, shall write to the Registrar seeking permission.
- 2) The Research Center, in consultation with the Research Advisory Committee, 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**

The Research Advisory Committee shall conduct the comprehensive Viva-Voce in English language only.

- 1) The comprehensive Viva-Voce shall be a closed-door oral examination open to the Research Advisory Committee members (as examiners), and the Scholar.
- 2) The Research Advisory Committee 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 Research Advisory Committee, 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 Scholar on his/her topic of research, including the work done till date and the proposed future work.
- 2) The Research Advisory Committee and the additional examiner(s), if present, shall test the 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 Research Advisory Committee shall communicate the result of the Comprehensive Viva-Voce to the Registrar through the Research Center as:

- 1) The Research Advisory Committee is satisfied at the successful completion of Comprehensive Viva-Voce and the Scholar shall continue the research work.

**OR**

- 2) The Research Advisory Committee has indicated the deficiencies in specific areas in which the Scholar needs strengthening of knowledge and is suggesting a date preferably within the next three months for Comprehensive Viva-Voce.
- 3) The Research Advisory Committee suggests a change in Research area/ Topic/ Research title for consideration. (To be read with 23PHD 11.12 and 23PHD 11.13)
- 4) If the Research Advisory Committee does not recommend the continuation of research work by the Scholar even after the second attempt of Comprehensive Viva-Voce, the provisional registration of the Scholar shall stand cancelled automatically, without the issuance of a notice.
- 5) The recommendation of cancellation of the provisional registration of the concerned Scholar by the Research Advisory Committee shall be addressed to Registrar.
- 6) On receiving the proceedings of the Research Advisory Committee regarding the recommendation of cancellation of the provisional registration of the concerned Scholar, the Registrar shall place the same before the Admissions Committee for its considerations and further action.

#### **23PHD 7.2.6. Minimum Period for Submission of Thesis by Fulltime Scholars**

Minimum duration of Fulltime Ph.D. programme shall be three (03) years, including the coursework.

Subject to fulfillment of all the prescribed requirements of the programme, all Fulltime Scholars shall be eligible for submission of Thesis after a minimum period of three (03) years from the date of admission.





**23PHD 7.2.7. Maximum Period for Submission of Thesis by Fulltime Scholars**

The maximum period for submission of the Ph.D. Thesis by Fulltime Scholars shall be six (06) years from the date of admission.

**23PHD 7.2.8. 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, all Part-Time Scholars shall be eligible for submission of Thesis after a minimum period of four (04) years from the date of admission.

**23PHD 7.2.9. Maximum Period for Submission of Thesis by Part-Time Scholars**

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

**23PHD 7.2.10. Submission of Thesis before the prescribed minimum Period of the Ph.D. programme**

Scholars, who complete the research work much before the prescribed minimum period of Ph.D. programme (i.e., 03 years for Fulltime and 04 years for Part-Time), can request the Registrar (Evaluation) for permission to submit the thesis provided the Scholar satisfies most of the following or any other valid issues raised by the High Power Committee.

- (i) The research work is original and significantly adding knowledge to the research field.
- (ii) The scholar has published four or more papers in IEEE Transactions/ Scopus/ SCI/ WOS indexed journals/UGC CARE 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 by all.

**23PHD 7.2.11. Extension of Maximum Period for Submission of Thesis and other provisions (Common to both Fulltime 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 Scholars who have made considerable progress in research, but are unable to submit Thesis within the permissible maximum period of the Ph.D. programme.

The extension period shall be two years beyond the maximum period on specific recommendations of the Research Advisory Committee forwarded through the Research Center to the Registrar on receipt of a request for extension from the



Scholar not less than three months prior to the completion of the maximum programme period.

- 2) 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 VC, shall permit the Scholar to submit the Thesis after paying a penal fee of Rs 10,000/- (Rupees ten thousand only) and extending the maximum period of the programme by two year minus the period lost in submission of the written request before and after the maximum programme period.

The decision of the Vice Chancellor in this regard shall be final.

- 3) In case of failure of the Scholar to submit the Thesis by the end of the extended period, the registration shall be cancelled without the issuance of notice.  
[to be read with 23PHD 11.19]

### **23PHD 8.0. THESIS EVALUATION AND ADJUDICATION**

Upon satisfactory completion of course work and obtaining the marks/grade prescribed above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/ thesis.

#### **23PHD 8.1. Open Seminars, Mandatory Publications and Pre-Submission Colloquium**

The Research Scholar shall give open Seminars, make minimum number of Publications, and conduct 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 Scholar shall give two pre-Ph.D. presentations, commonly known as open seminars before the Research Advisory Committee at the Research Center.
  - a) The first open seminar shall be held only after three months from the date of successful completion of Comprehensive Viva-Voce.
  - b) The second open seminar shall be held only after three months from the date of first open seminar.
- 2) These Seminars shall be open to all the faculty members and research Scholars and arranged with the object 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 Research Advisory Committee shall upload the proceedings of each seminar to web link <https://jnanashodha.vtu.ac.in>.

##### **23PHD 8.1.2. Mandatory Publications**

- 1) Each Scholar shall publish a minimum of two research papers in UGC Care journals or in journals indexed under SCOPUS/SCI/WoS 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 Research Advisory Committee, in the form of reprint or acceptance letter/s from the Publisher(s) of the Journal.

- 2) The 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 UGC Care journals or in journals indexed under SCOPUS/SCI/WoS, the Scholar shall submit to the Research Advisory Committee 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 Scholar, including the publications resulting from the Research work.
- 3) The Scholar shall present a pre-submission colloquium before the Research Advisory Committee, demonstrating his/her preparedness to submit the Synopsis for the process of adjudication.
- 4) On satisfactory performance at the Pre-Submission Colloquium, the Research Advisory Committee shall be free to permit the 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 Research Center.
- 5) If the performance of the Scholar in the Pre-Submission Colloquium is not satisfactory, the Research Advisory Committee may point out the deficiencies, and instruct the Scholar to repeat the Colloquium within three months.
- 6) In case, the performance of the Scholar at the second Pre-Submission Colloquium is not satisfactory, the Research Advisory Committee, within the Scholar's maximum period of the programme, shall be free to permit the Scholar to repeat the Colloquium for the third and last time within three months.
- 7) In case, the performance of the Scholar at the third Pre-Submission Colloquium is not also satisfactory, no further chance shall be given to the Scholar to pursue the programme and the registration of the Scholar shall stand cancelled automatically, without issuance of a notice.

### **23PHD 8.2. Submission of Synopsis and related Documents**

- 1) On satisfactory performance at the Pre-Submission Colloquium, the Research Advisory Committee shall first submit one hard copy as per checklist. The synopsis shall also be accompanied with the documents specified in Annexure - 4.



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- 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 Research Advisory Committee. Each group shall have six Adjudicators. The list of proposed Adjudicators shall not have the names of the domain experts serving the concerned Research Advisory Committee.

**Group – A:** The Adjudicators shall be from the outside of the Visvesvaraya Technological University and from the outside of the VTU 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/ 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 Research field of the 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 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 Scholar has satisfied all the requirements of the Ph.D. programme, produced all relevant documents and no due certificates, the Registrar (Evaluation) shall permit the Scholar to submit the Thesis for Adjudication.

- 1) The Scholar shall submit the documents as per the checklist specified at VTU Website [Annexure 4]



- 2) The Scholar shall also pay the prescribed Thesis adjudication fees to the University.
- 3) In case the Scholar is unable to submit the Thesis within three months (if 3 months period is available within the validity period of the programme) from the date of approval letter from Registrar (Evaluation) for the submission of the Thesis, he/she shall be free to seek extension of time from the VC through a request letter addresses to the Registrar (Evaluation). The letter supported by the recommendations of the Research Supervisor(s) and the Research Advisory Committee shall be forwarded through the Research Center.
- 4) For each further extension, within the maximum period of the programme, the Scholar shall pay a penal fee of Rs.2,000/- (Rupees Two thousand only). [To be read with 23PHD. 11.19]
- 5) In case, the extension period sought is beyond the maximum duration of the Ph.D. programme, the Scholar shall seek extension of Ph.D. programme duration as per 23PHD. 11.19.

#### **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 will be intimated the status for further updation of thesis as per norms.
- 4) The Research Scholar shall have a maximum of three instances to submit and resubmit the thesis after which the thesis shall not be submitted, and
- 5) Suitable fees shall be charged to the Scholar 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 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 taking any further steps on the subject.



#### **23PHD 8.4.1. Appointment of Adjudicators**

The adjudicators [Research Supervisor, Co-Supervisor, if any, and two more Adjudicators identified as per 23PHD 8.4 (2) and (3) and approved by Vice Chancellor.] shall be appointed by the Vice Chancellor to adjudicate the Thesis submitted by the Scholar.

#### **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 the Adjudicator(s) within this period, a reminder once in a 15 days to that effect shall be sent to the Adjudicator(s) concerned.
- 3) If any adjudicator does not send the report even after three 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 A and B 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 (having at least 250 words in length) 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 of the Scholar 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, by the Scholar 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 by the Scholar at final Viva-Voce and it is recommended for the award of Ph.D. Degree.



**OR**

(iii) Thesis needs minor corrections to be made by the Scholar 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 [other than the Research Supervisor(s)] do not recommend the Scholar for the award of the Ph.D. Degree, the Thesis shall be rejected.
- 2) On receiving the recommendation from the Registrar (Evaluation), Registrar shall 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) Then the Registrar shall notify the cancellation of registration of the Scholar to Ph.D. programme on University website and intimate the same to Research Supervisor(s), Research Center, and the 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 Adjudicators [other than the Research Supervisor(s)] finds that the research work 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). Based on this decision, the third external Adjudicator shall be invited for the evaluation process.
- 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.

With the cancellation intimation from the Registrar (Evaluation), the Registrar with the approval of the Executive Council shall notify the rejection of Thesis to all the concerned.





#### **23PHD 8.4.6. Consideration of Favorable Thesis Reports**

- 1) On receiving the favorable recommendations from all the appointed adjudicators, the Registrar (Evaluation) shall arrange to send copies of the Reports received from the adjudicators to the Research Supervisor.
- 2) The Registrar (Evaluation) shall permit the Research Supervisor(s) to conduct the final Viva- Voce of the Scholar.

#### **23PHD 8.5. Conduct of Final Viva-Voce**

- 1) The composition of the Viva-Voce Board shall be as specified under 23PHD 3.5.
- 2) The Research Supervisor(s) 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 and the Scholar.
- 3) The Research Supervisor(s) 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 for Final Viva – Voce Examination at a 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 VTU or the Institution where the Research Supervisor/Co-Supervisor is based.
- 6) The Research Supervisor(s) shall invite the members of the teaching staff and other Research Scholars to attend the Viva-Voce. The Scholar shall make a brief presentation of the research work carried out highlighting the important findings/ conclusions.
- 7) After the completion of the presentation, the Research Supervisor(s) shall give opportunity to the invitees to seek clarifications, if any, from the Scholar.
- 8) (i) After this, the Board only shall examine the Scholar to test his/her understanding of the subject matter of the Thesis and 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



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- (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 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 Scholar fails to attend the second Final Viva –Voce or if the performance of the Scholar is not satisfactory, the admissions of the Scholar shall automatically get terminated.
- 11) Prescribed fees shall be paid by the Scholar to the University for the conduct of each Final Viva – Voce examination.

**23PHD 8.5.1. Consolidated Final Viva - Voce Report**

After successful completion of the Viva-Voce, the Board of Examiners of the final Viva- Voce, 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 in this Regulation.
- 2) The University, with the approval of its authorities, shall award the Ph.D. Degree certificate to the Scholars during the forthcoming Convocation.

**23PHD 9.2. Grant of M.Phil. Degree**

- 1) 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) The University, with the approval of its authorities, shall award the Ph.D. Degree



certificate to the Scholar 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 degree programmes commencing prior to the enactment of these Regulations.

#### **23PHD 10.0. INSTITUTIONS FOR CONDUCTING RESEARCH**

Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for obtaining recognition for offering Ph.D. programmes:

- 1) Post-graduate Colleges offering four year Undergraduate Programmes and/or 2 year Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.
- 2) Colleges and research institutions established by the Central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:
  - i. At least two faculty members in a college or two Ph.D. qualified scientists in the research institution.
  - ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the University.

#### **23PHD 10.0. Utilization of facilities available at another Research Center**

- 1) The Scholars shall utilize the facilities available at other Research Center 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 Research Advisory Committee 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 Scholar shall execute an undertaking that he would adhere to the Rules and Regulations of the new Research Center/s.



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- 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. Depository with INFLIBNET**

- 1) Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Registrar (Evaluation) shall submit an electronic copy of the final (corrected) Ph.D. thesis 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 11.2. Copyright of the Thesis**

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

### **23PHD 11.3. Prohibition of Scholars from Registering for any other Degree**

No Ph.D. 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 Scholar for the Ph.D. Degree.

### **23PHD 11.4. 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 11.5. Change of Research Supervisor / Research Co-Supervisor**

- 1) In unforeseen circumstances like, transfer/voluntary retirement/ resignation / indisposed situation/death of the Research Supervisor and/or Research Co-Supervisor/ legal actions on the Research Supervisor(s) by the administration, etc., the Scholar shall submit a request to the Registrar through Research Center with the approval of the Research Advisory Committee for a change of Research Supervisor/ Research Co-Supervisor.

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

- 2) The change of Research Supervisor/ Research Co-Supervisor shall be permitted provided,
  - (i) The field of specialization of new Research Supervisor/ Research Co-Supervisor is pertinent to the field and topic in which the Scholar is pursuing the Ph.D. programme.
  - (ii) The new Research Supervisor is working at a place where there is a VTU approved Research Center pertaining to the field in which the Scholar is pursuing the



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Research.

(iii) The Research Center at which, the new Research Supervisor is working, has requisite research facilities required for the Scholar's research field/topic.

(iv) The new Research Supervisor(s) has/have a Research experience of at least three years as Research Supervisor(s).

3) Research Supervisor/s, working at a place where there is no VTU approved Research Center, can only function as Research Co-Supervisors, but not as Research Supervisors.

In such cases, the Scholar shall opt for a Research Supervisor who satisfy 23PHD 11.5

(2)(b).

4) In case, the specialization field of new Research supervisor/ Research Co-Supervisor is different from the 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/ Research 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 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:

(i) **Change is before the completion of coursework.**

With the change permitted, the Scholar shall work under the new Research Supervisor/ Research Co-Supervisor as per the University prescribed norms following Part -I to Part – IV.

(ii) **Change is after the completion of the coursework and before the comprehensive Viva-Voce.**

With the change permitted, the Scholar, retaining the same proposed Research field and topic, shall work under the new Research Supervisor(s) as per the University prescribed norms following Part -II to Part – IV.

(iii) **Change is after the comprehensive Viva-Voce but before Pre - Submission Colloquium.**

With the change permitted, the Scholar shall work under the new Research Supervisor(s) for at least one year in case of Fulltime programme and one and half



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years in case of Part-Time programme, within the permissible period of the programme (i.e., minimum, maximum or extension period of the programme), to become eligible to submit the Thesis.



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**(iv) Change is after the Pre - Submission Colloquium.**

With the change permitted, the Scholar shall work under the new Research Supervisor(s) for at least one year in case of Fulltime programme and one and half years in case of Part-Time programme, within the permissible period of the programme (i.e., minimum, maximum or extension period of the programme), to become eligible to submit the Thesis.

- 6) The Admissions Committee shall take suitable decisions, case by case, following or overruling the clause 23PHD 11.5 (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 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/ Research Co-Supervisor and the Institution with its use.
- 9) Change of Research Supervisor/ Research 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 Research Advisory Committee shall be reconstituted.

**23PHD 11.6. Appointment of caretaker Research Supervisor/ Research 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 Research Advisory Committee shall propose, to the Registrar, for an appointment of a caretaker Research Supervisor/ Research Co-Supervisor on ad hoc basis. To salvage the academic programme of the Scholar, the appointment of Research Supervisor/ Research Co-Supervisor as an ad hoc caretaker shall be beyond the maximum number of 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 Scholar about the appointment of the caretaker Research Supervisor/ Research Co-Supervisor.

- 2) In case the Research Supervisor or the Research Co-Supervisor extends the leave for more than 12 months, the Research Advisory Committee along with the ad hoc caretaker Research Supervisor/ Research Co-Supervisor shall request for a regular Research Supervisor/ Research Co-Supervisor subject to the fulfillment of 23PHD 11.5.
- 3) Prescribed fees shall be paid by the Research Scholar to the University.

**23PHD 11.7. 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 boost the quality of Research.





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- 2) The Scholar shall submit a request endorsed by the Research Advisory Committee to the Registrar.
- 3) The decision taken by Admission Committee in this regard shall be final and binding by all.
- 4) Prescribed fees shall be paid by the Scholar to the University for the co-option of Research Co-Supervisor.

**23PHD 11.8. Relocation of Scholars in crisis**

- 1) Relocation of a Research Scholars, due to inevitable personal reasons, shall be considered by the University provided the requirements of the Ph.D. programme are possible to be satisfied.
- 2) The 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 be conveyed to the Scholar. In all such cases, the decision of the Admissions Committee shall be final and binding.
- 4) The clause 23PHD 11.5 shall be applicable to the Scholars who seek relocation along with change of Research Supervisor/ Research Co- Supervisor.
- 5) Prescribed fees shall be paid by the Scholar to the University.

**23PHD 11.9. Relocation of Women Scholars for Extension of Special Facilities**

- 1) Relocation of a Women Scholars, because of various reasons, shall be considered by the University to extend special facilities to Women Scholars, provided the requirements of the Ph.D. programme are possible to be satisfied.
- 2) The 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.
- 4) The clause 23PHD 11.5 shall be applicable to the Scholars who seek relocation.
- 5) Prescribed fees shall be paid by the Scholar to the University.

**23PHD 11.10. Leave/ Temporary Withdrawal**

- 1) All the research scholars registered under Full-Time category are entitled for 30 days leave per academic year. In case of leave extension, the research scholar must submit a formal leave application to the Dean/Director of the respective School of Studies through the Research Supervisor. Approval of the extension of leave will be at the discretion of the Dean/Director of the respective School of Studies.
- 2) In addition, the women Research Scholars may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. programme for up to 240 days. A research scholar may also temporarily withdraw from the Ph.D. program due to health or family circumstances. Such withdrawal request shall be forwarded through the Research Supervisor to the Dean of the respective School of Studies, who in turn shall forward the same to the University for final approval.
- 3) Research Scholars cannot take more than two semesters (one year) of leave during



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the entire course of their Ph.D. Programme.

**23PHD 11.11. 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 between the Scholar and the Research Supervisor/ Research 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 clause 23PHD 11.5 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 11.12. 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 Fulltime Scholars/4 years in case of Part- Time 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 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 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 Scholar shall have to undergo new set of coursework or additional course/s. Further, with respect to the change, the 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 Fulltime Scholars/ 3 years in case of Part-Time Scholars, from the date of change of Research Area/Topic.
- 5) In case, the field of specialization of Research Supervisor/ Research 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/ Research Co-Supervisor does not cover the new Research area/topic, the Scholar shall request for new Research Supervisor/Co- Supervisor. The allotment of Research Supervisor/s shall be by considering the relevant sub clauses of 23PHD 11.5.
- 7) In case, the Scholar opts for a change of Research Area/Topic after the publication of



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papers, change shall be allowed, provided,

- (i) The Specialization of Research Supervisors covers the new Research Area/Topic sought by the 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 Scholar shall submit a request through the Research Center, to the Registrar along with the abstract and recommendations of Research Advisory Committee.
  - 9) The Admissions Committee shall take suitable decision and the decision shall be final and binding.
  - 10) Prescribed fees shall be paid by the Scholar to the University for the change of Research area/topic.

**23PHD 11.13. 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, the Scholar shall submit a request through the Research Center, to the Registrar along with the recommendation of Research Advisory Committee.
- 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 by the Scholar.
  - (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.
- 5) Prescribed fees shall be paid by the Scholar to the University.

**23PHD 11.14. Change of Programme from Full-Time to Part-Time and vice versa**

- 1) In case, a Fulltime Research Scholar is desirous to change from Fulltime category 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 Research Co- Supervisor, if any, and the recommendations of the Research Advisory Committee.
- 2) In all such cases, the decision of the Admissions Committee shall be final and binding.
- 3) If the Research Scholar belongs to any of the VTU Research Center and is a beneficiary of VTU Jnana Yana Doctoral Fellowship, then he/she shall not be eligible for the Fellowship henceforth consequent to this change over.



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- 4) In case, a Part - Time Research Scholar is desirous to change from Part-Time category to Fulltime category, he/she shall submit a request through the Research Center, to the Registrar along with no objection certificates from the Research Supervisor and Research Co-Supervisor, if any, and the recommendations of the Research Advisory Committee. 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.
- 6) Prescribed fees shall be paid by the Scholar to the University to regularize the Change of programme from Full-Time to Part-Time and vice versa.

#### **23PHD 11.15. Cancellation of Registration to Ph.D. programme at the request of the Registered Scholar**

- 1) In case, a registered 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 Scholar shall submit to the Registrar the following.
  - (i) Acceptance letter from the Research Supervisor and Research Co-Supervisor, if any, for cancellation of Registration to Ph.D. programme.
  - (ii) No due certificate from (a) the Chairperson of the Research Advisory Committee 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.
  - (iii) No objection certificate from the Registrar (Evaluation), the Registrar, University Library, Central and Departmental Libraries, Hostel, etc. as per the requirement.
- 3) The Scholar's request for cancellation of registration to Ph.D. programme 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.
- 5) Prescribed fees shall be paid by the Scholar to the University for cancellation of registration to Ph.D. programme.

#### **23PHD 11.16. 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 Scholar seeking explanation as to why his/her registration should not be cancelled 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 the Scholar not interacting frequently with the supervisor or for any other valid reasons.
  - d) Scholar registering to pursue some other Full-Time/Part-Time programme of



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- other University or Organization.
  - e) Full-Time Scholars joining to Full-Time/Part-Time appointment.
  - f) Not applied 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 Scholar or the noncompliance report in case of no reply from the Scholar shall be placed before the Executive Council for its considerations. The decision of the Executive Council shall be final and binding.

**23PHD 11.17. Transfer of Scholars from other Universities to VTU**

- 1) Transfer of Scholars (Candidates) registered at any other University (other than VTU) shall be allowed to continue the Ph.D. programme, provided the Scholars are from defense Organizations/National Laboratories/ National Research Organizations/ Public Sector Units/State and Central Government Organizations and officially transferred to any part of Karnataka State.
- 2) While applying for transfer, the Candidates shall submit an application to the Registrar, VTU, as per the Annexure - 6.
- 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 pursue 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 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.



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- 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 11.18. 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 11.19. Revocation of cancellation of registration to Ph.D. programme due to non-submission of the Thesis within the extended period of Ph.D. programme**

- 1) The Scholars, whose Ph.D. registration has been cancelled in view of non-submission of Thesis before the end of extended period of the Ph.D. programme (as per 23PHD 7.2.11), can request for revocation of the cancellation order within a year from the date of cancellation, by submitting the Synopsis covering all the chapters of the Thesis and  
the Thesis which are conforming to plagiarism norms of the University. The request letter, forwarded by the Research Supervisor(s), shall be addressed to the Registrar.
- 2) The Registrar shall revive the dissolved Research Advisory Committee, with an additional domain expert from IISc/IITs/IIITs/IIMs, to offer its recommendations regarding the synopsis covering all the chapters of the Thesis and the Thesis for further processing.
- 3) In case, the Research Advisory Committee recommends the synopsis covering all the chapters of the Thesis and the Thesis for further processing, the Scholar shall submit the same as per 23PHD 8.2 and 23PHD 8.3 (1) by paying prescribed University fees.
- 4) In case the Thesis plagiarism level is found acceptable, the University shall initiate the process for adjudication and final Viva –Voce.
- 5) If the Thesis plagiarism level is found unacceptable, the Scholar shall not be given any more chance to resubmit the Thesis and the revocation stands automatically cancelled.





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**23PHD 11.20. 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 11.21. 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 11.22. 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.

**23PHD12.0. Depository With INFLIBNET**

Following the Successful completion of the evaluation process and before the announcement of the award of the Ph.D. Degree(s) The Higher education institution concerned shall submit an electronics copy of the Ph.D. thesis to INFLIBNET,







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**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.



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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 pursue 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					<b>Faculty:</b>							
					<b>Specialisation:</b>							
					<b>Category of Candidates: VTU - ETR Exempted</b>							
					<b>(Please tick the relevant)</b>							
					<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>(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.</p> </div> <div style="width: 5%; text-align: center;"> <input type="checkbox"/> </div> <div style="width: 50%;"> <p>(ii) Candidates with M.Phil. Degree or equivalent as recognized by the University.</p> </div> <div style="width: 5%; text-align: center;"> <input type="checkbox"/> </div> </div>							
<b>Maximum Marks for Pre – Registration Interview: 30</b>						<b>Date of Interview</b>						
Sl No	Name of the Candidate	USN	Academic Performance		Publication in Journals	Presentation in conferences	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	NSS/NCC/Red Cross and other social services	Research Proposal		Total Marks
			UG	PG						Presentation	Viva-Voce	



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								(FDPs) / MOOCs(through proctored Examination/s)				
			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



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**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 which the Candidates have applied													<b>Faculty:</b>	
													<b>Specialisation:</b>	
													<b>Category of Candidates: VTU - ETR Exempted</b> (Please tick the relevant)	
													(ii) 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 <input type="checkbox"/> or equivalent as recognized by the University.	
Maximum Marks for Pre – Registration Interview: 30									<b>Date of Interview</b>					
Sl No	Name of the Candidate	USN	Academic Performance		Paper		Publication in Journals	Presentation in conferences	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	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	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



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**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			<b>Faculty:</b>										
			<b>Specialisation:</b>										
			<b>Category of Candidates: VTU - ETR Qualified</b>										
Maximum Marks for Pre – Registration Interview: 30									<b>Date of Interview</b>				
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



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**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 which the Candidates have applied				<b>Faculty:</b>									
				<b>Specialisation:</b>									
				<b>Category of Candidates: VTU - ETR Qualified</b>									
Maximum Marks for VTU – ETRPre – Registration Interview: 30								<b>Date of Interview</b>					
Sl No	Name of the Candidate	USN	Academic Performance		Paper		International /National /State level Award (s) (Detent /awarded 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



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**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





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**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 Candidates to the University website via the web link <https://jnanashodha.vtu.ac.in>.





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**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**

<b>Faculty</b>	<b>Specialization</b>	<b>Prescribed number of Courses</b>
1) Faculty of Civil Engineering Sciences	(i) Civil Engineering	04
	(ii) Environmental Engineering	04
	(iii) Geology	06
2) Faculty of Mechanical Engineering 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 Electrical and 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 Applied Sciences	(i) Physics	06
	(ii) Chemistry	06
	(iii) Mathematics	06
	(iv) Computer Applications	06
8) Faculty of Architecture	(i) Architecture.	04





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**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**

On satisfactory performance at the Pre-Submission Colloquium, the Research Advisory Committee shall first submit two hard copies and one soft copy (a CD containing the Synopsis in monolithic form as a PDF file) along with the plagiarism report obtained at the Research Center. The synopsis shall also be accompanied with the following documents.

- (1) Photocopy of the Office Order of Ph. D. Registration.
- (2) Photocopy of Coursework Completion Certificate.
- (3) Photocopy of the Comprehensive Viva - Voce Results issued from VTU.
- (4) Photocopy of Approval letter issued from VTU for Change of Title, Research Supervisor(s), Research Center, Inclusion and Omission of Co Guide. (If any)
- (5) Adjudicator format - 1 (available in the website of VTU).
- (6) No Dues Certificate from Research Center (issued by Principal in case of Institutions / Head or in charge Person at other Research Centers).
- (7) Certificate from Guide/ Co-Guide.
- (8) Letter of submission from the Guide/Co-Guide.
- (9) Evidential proof from HOD and Head of Research Center (Principal) for having been conducted open seminar- 1.
- (10) Evidential proof from HOD and Head of Research Center (Principal) for having been conducted open seminar- 2.
- (11) Pre submission colloquium report from guide through HOD and Head of Research Center (Principal).
- (12) Sealed cover containing the Panel of adjudicators.
- (13) Online Fee Payment Challan.
- (14) One hard Copy of the Synopsis.
- (15) One CD of the Synopsis.
- (16) Hard Copies of the two or more journal papers published.
- (17) Letter from research Center having checked all residence certificate for Part-Time, as well half yearly progressive reports for both Part-Time and full time scholars.
- (18) To be uploaded all the documents through online portal before submitting hard copy Change of supervisor, topic extension period, etc.



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**Annexure -5**

**[Corresponding to 23PHD 8.3 Submission of Ph.D. Thesis]**

**Documents to be uploaded along with the submission of Thesis**

The Research Center shall forward two hard copies and one soft copy of the Thesis copy (a CD containing the Thesis in monolithic form as a PDF file) to the Registrar (Evaluation) for taking further steps on it.

The Thesis shall be accompanied with the following documents.

- (1) Certificate from Research Supervisor(s) stating that there is prima facie case for thesis submission at this stage and that the thesis does not contain any work previously submitted for any award of the Degree anywhere.
- (2) Undertaking from the Scholar [certified by the Research Supervisor(s)] stating that,
  - (i) The thesis is based on the individual, original work and is previously unpublished research work.
  - (ii) The thesis is not containing any material infringing on the copyright of any individual/Organization and does not hurt the sentiments of any individual or religion.
  - (iii) The information such as text, tables, equations, diagrams, figures, charts, graphs, photographs taken from various sources has been cited appropriately in the thesis.
  - (iv) The opinions expressed or implied in the thesis is entirely of the Scholar and the Research Supervisor(s).
- (3) Certificate from the Research Center that there are no arrears/dues from the Scholar up to the date of submission of the thesis.





**VISVESVARAYA TECHNOLOGICAL UNIVERSITY**  
(Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations–2023

**Annexure -6**

**[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 continue the 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.

