



NO: AC2(S)/460/2009-10

Vishwavidyalaya Karyasoudha
Crawford Hall, Mysore 570 005
Dated: 20.03.2017

NOTIFICATION

Sub: Introduction of the Ph.D. Regulations in commensurate with UGC minimum standard and procedure for award of Ph.D. degrees.

- Ref: 1. University Grants Commission (Minimum Standards and Procedures for Award of M.Phil/Ph.D. Degrees) Regulations, 2016, notified on 05.05.2016.
2. D.O. letter No. F.1-1/2016(Secy) dated 29.09.2016 received from Secretary, University Grants Commission, New Delhi.
3. This Office letter of even no. dated 08.11.2016.

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As emphasized by the UGC under reference (2) the previous regulation 2010, governing with regard to award Ph.D. has been revised in accordance with UGC minimum standard and procedures for the award of Ph.D. Regulation 2016, and the recommendation made by the committee which was formed to review the adoptability of the new Ph.D. regulation with the approval by the Academic Council and the Syndicate.

Hence the following notification is issued.

In view of the above and pending approval of the Government the Notification is issued with regard to regulations governing the award of Ph.D. degree. The regulation is also annexed herewith & it will come into force with immediate effect.

NOTE: The Regulations pertaining to Ph.D. is uploaded in the University web site www.uni-mysore.ac.in.

Draft approved by the Registrar

[Handwritten Signature]
Deputy Registrar(Academic) 2017
2017/3/20

To:

1. The Secretary, Dept. of Higher Education, Govt. of Karnataka, Bangalore.
2. The Executive Director, Karnataka Higher Education Council, Govt. of Karnataka, Bangalore.
3. The Registrar (Evaluation), University of Mysore, Mysore.
4. All the Chairperson, Dept. of Studies, Manasagangotri, Mysore including Directors of P.G. Centres, Mandya, Hassan & Chamarajanagar.
5. Deans of all Faculties, University of Mysore, Mysore.
6. Prof.P.Nagabhushan, Chief Nodal Officer, CBCS/CAGP, Dept. of Studies in Computer Science, Manasagangotri, Mysore.
7. The Co-ordinator, Directorate of Research, Pariksha Bhavan, University of Mysore, Mysore.
8. All Principals of Constituents colleges, Mysore.
9. All the Heads of the University Recognized Research Centres.
10. The Administrative Officer – Administrative Office, Senete Bhavan, Manasagangotri, Mysore.
11. All Deputy/Asst. Registrars of Administrative Branch & Examination Branch, University of Mysore, Mysore.
12. W.P.C., University of Mysore, Mysore.
13. P.A. to the Vice-chancellor/Registrar/Registrar(Evaluation)/Finance Officer, University of Mysore, Mysore.
14. Office copy.

Annexure to Notification No.AC2(S)/460/2009-10, dated 20.03.2017.


UNIVERSITY OF MYSORE
Ph.D. Regulations 2017

In commensurate with UGC Notification dated 5th May 2016

The Ph.D Regulations-2017 is in commensurate with UGC minimum standard and procedure for the award of Ph.D Regulation 2016 and suppresses the existing University of Mysore Ph.D regulations 2010.

1. TITLE AND COMMENCEMENT:

- 1.1 These Regulations shall be called the Regulations governing the **standards and procedures** for the award of the degree of Doctor of Philosophy [Ph.D.] of the University of Mysore with effect from 2017-18 and complies with the UGC Notification dated 5th May 2016.
- 1.2 These Regulations shall come into force from the date of notification by the University subsequent to the approval by the Academic council of the University.
- 1.3 The Directorate of Research established in the university shall be responsible in the conduction of Ph.D Programme, under the direct supervision of Registrar(Evaluation), from the stage of notification for admission up to the award of Ph.D degree to a candidate.

2. DEFINITIONS:

In these Regulations, unless the context otherwise requires

- 2.1 “University” means the University of Mysore.
- 2.2 “Degree” means the degree of Doctor of Philosophy [Ph.D.].
- 2.3 “Department” means the Department of Studies of the University OR the Recognized Research Center/ Institution of the University where a candidate intends to work for the degree either as a full time candidate or as a part time candidate and not as a candidate in distance mode.
- 2.4 “Head of the Department” means the Chairperson of the Department of Studies of the University OR Director of the Institute OR co-ordinator/ OR Head of the Recognized Research Center/Institutions of the University where a candidate works for the degree.
- 2.5 “Candidate” means any person who satisfies the prescribed eligibility conditions as stated later in Section 5 and who intends to register for the degree.
- 2.6 “Foreign candidate” means a person as defined in the annexure enclosed.
- 2.7 “Board of Studies” means the Postgraduate Board of Studies in the subject concerned/ Joint Boards of Studies in more than one subject/ Interdisciplinary Board of Studies as constituted by the University.
- 2.8. “Course work” means the compulsory preparatory study to be undertaken by a candidate as prescribed by Board of Studies.
- 2.9 “Guide” means the faculty/scientist/research supervisor recognized by the University of Mysore to guide research work of a candidate who satisfies eligibility as provided in Section 4.
- 2.10 “Co-guide” means the faculty/scientist/research supervisor recognized by the University who satisfies eligibility as provided in section 4 and agrees to supervise the work of a candidate jointly with the main guide.

2.11 "Doctoral Committee" means the Research Advisory Committee constituted by the University to oversee the research work of a candidate.

2.12 "Board of Examiners" means the panel of examiners constituted by the University for adjudicating the Ph.D. thesis submitted by a candidate.

3. CONSTITUTION AND FUNCTIONS OF THE DOCTORAL COMMITTEE:

3.1 The Doctoral Committee, constituted by the university, shall consist of:

- (a) The Guide and Co-guide, if any, of the candidate,
- (b) The Chairperson of the Department / Head of the recognized research center,
- (c) The Chairperson of the Board of Studies or his/her nominee in case he is not available on the day of meeting and
- (d) Two Faculty Members/ Scientists of the Department/Institution suggested by the guide. The faculty members/ Scientists are those who are in the broad area of the research work proposed by the candidate and who have guided at least one Ph.D candidate.

The Guide shall be the Chairperson of the Doctoral Committee. Wherever Guide is also the Chairperson of the Department/Chairperson of the Board of Studies, another Senior Faculty Member/ Scientist shall be included in the Committee. In such Departments wherein the number of faculty is less than two, members of the Doctoral Committee shall be chosen from sister Departments. As the members of the Doctoral Committee may change due to superannuation, resignation of faculty or any other reason (s), these can be filled up by the University upon written request from the Guide, whose membership in the Committee is by name only.

3.2 The Doctoral Committee shall monitor and assess:

- (a) Pre-registration colloquium as in 6.4,
- (b) Progress reports of a candidate submitted periodically as in Section 7.
- (c) Pre-thesis submission colloquium as in 8.1
- (d) Open viva-voce of the candidate as in 8.7

4. ELIGIBILITY CRITERIA FOR RECOGNITION AS GUIDE:

4.1 (a) Professors or Scientists of equivalent cadre working on regular basis in Departments of Studies of the University/Recognized Research Centers of the University are recognized as Ph.D. Guides in their subjects concerned, by virtue of their positions. However, if they wish to supervise candidates in other disciplines/ interdisciplinary subjects, then they have to formally apply for such recognition as prescribed in 4.1(d).

4.1 (b) Associate/ Assistant Professors and Scientists of equivalent cadre

Associate/ Assistant Professors and Scientists of equivalent grade working in Department of Studies of the University/ Constituent Colleges/Recognized Research Centers of the University on regular basis are eligible to be recognized as Ph.D. Guides in a subject if they have Ph.D. in that subject and at least three research articles in reputed peer reviewed journals/ book based on the research theme in the discipline in which they are desirous of guiding candidates (other than Ph.D. Publications and in the discipline of Science at least one paper must be SCI journal out of three). Assistant Professors and Scientists shall have three years of experience after Ph.D.in that cadre.

4.1 (c) Professors/Associate Professors/Assistant Professors/Scientists/Research Professionals of equivalent cadre in recognized research centers should have fulfilled all the requirements needed to be placed in that position as per UGC/AICTE/CSIR/ norms. The hiring of external guide for the purpose is not allowed.

4.1 (d) Faculty/Scientists desirous of supervising candidates of other disciplines/ interdisciplinary studies, shall submit an application with detailed curriculum vitae (CV) to the Registrar (Evaluation) for recognition as Research guide of the University along with evidence of regular services and of publications of research articles in the discipline concerned.

4.1 (e) Faculty/Scientists who join the University after serving elsewhere with three years of regular teaching/ research experience in a relevant discipline, are also eligible to be considered for recognition as guide if they satisfy the other requirements as mentioned in (a), (b),(c) and (d).

4.2 To decide upon recognition of Guide, the Registrar (Evaluation) shall refer the application with CV and other enclosures including publications to the Chairman, BoS to seek the opinion of the BoS members by circulation (if BoS meeting is not scheduled around that time). The Chairman of BoS accordingly shall inform the recommendation regarding the recognition of the guide to the Registrar (Evaluation).

The Registrar (Evaluation) shall notify the recognition after the formal approval by the Vice Chancellor.

4.3 Faculty/ Scientists who attain **superannuation or resign** their jobs will forfeit recognition as Guide/ Co-guide. However, such a person shall sign a letter that he/ she shall have the responsibility of continuing to guide candidates who were registered under him/ her, before getting relieved from the University/ Institution/ Centre. In case the research guide/supervisor who quits the institution/research centre cannot take the responsibility of the ongoing candidate (s) then the research centre /institution should make alternate arrangements in the interest of the candidate(s) in consultation with Registrar (Evaluation).

4.4 In **exceptional cases** where a Guide who has attained superannuation but continues to work under sponsorship from recognized funding agencies, the Vice Chancellor can extend the recognition of such person as Guide/give fresh recognition as guide for a specific period after superannuation on a case-by-case basis upon request from the concerned guide supported by relevant evidences of such funding/ sponsorship.

4.5 (a) The number of candidates that can be supervised by a Guide/ Co-Guide is governed by the following Table.

Category of Supervisor	Maximum no. of candidates	SC / ST, Candidates	OBC candidates	Foreign Candidates	General Merit Candidates
Professor level	08	Min of 01	Min of 01	Not Exceeding 02	04
Associate Professor level	06	Min of 01	Min of 01	Not Exceeding 01	03
Assistant Professor level	04	Min of 01	Min of 01	Not Exceeding 01	02
If a foreign candidate does not enroll, the vacant seat may be shifted to General Merit.					

(b) A Guide/ Co-guide has to sign a declaration about the number of candidates working with him/ her at the time of enrollment of each candidate. A faculty who joins the University and is guiding candidates working in other Universities/ Institutions shall inform the University of the same and get permission to continue guiding these candidates. However the total number shall not exceed as specified in table above.

(c) A Guide /Co-guide who has been recognized to supervise the work in more than one subject, is also governed by the preceding regulations. The total candidates working under any Guide/ Co-guide shall be the sum total of all the candidates working under his/ her supervision in all the subjects.

4.6 (a) In the Departments wherever infrastructure requirements including chemicals/ equipments/ instruments are required, the Departments Council/ Head of the Institute/ Recognized Research centre/ Principal of the Constituent College shall decide on the number of candidates without fellowship/ Stipend it can accommodate per faculty member and send this information to the Registrar (Evaluation) before notification for admission is sent.

(b) The Department Council shall recommend the amount of Laboratory Fee to be collected from the candidates without fellowship/ stipend based on the research needs of the candidate.

5. ELIGIBILITY CRITERIA FOR A CANDIDATE:

Any candidate who satisfies the following conditions is eligible to seek registration for Ph.D. in a Department upon application for provisional registration after going through these Regulations and Guidelines for Ph.D. which shall be supplied along with the application form.

5.1 A candidate shall have Masters Degree or any other Degree/ Diploma of the University or any other Degree/ Diploma of any other University/ Institution recognized as equivalent thereto, with minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or an equivalent Grade. A candidate who has completed M.Phil / Equivalent with a minimum of 55% or equivalent grade is eligible for admission even if his/her marks in masters degree is less than 55% provided the candidate has got admission to M.Phil.by an entrance examination. However, this condition is relaxed to 50% in case of:

(a) SC/ST/Cat-I candidates.

(b) In service candidates with **a minimum of five** years of regular experience associated with teaching profession as teachers/ library professionals/ physical education instructors/ laboratory staff in educational institutions.

(c) A candidate who completed masters degree prior to 19 Sep 1991.

5.2 A candidate shall be guided by a Research Guide recognized by the University in the concerned subject.

5.3 In case where the research of a candidate is inter/multi-disciplinary in nature, the candidate may opt for a Co-guide, who shall also be a recognized Guide of the University in the concerned or related subject. However, the main responsibility of supervising the research work is vested with the Guide and the candidate shall finalize and submit the thesis through the Guide giving due acknowledgment and credit to the Co-guide which shall also be mentioned in the Ph.D. Notification by the Registrar (Evaluation) after successful completion of Ph.D.

The notification should be governed by the following:

5.3.1. Decide on an annual basis through their academic bodies a predetermined and manageable number of Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar-teacher ratio laboratory, library and such other facilities;

5.3.2 Notify well in advance in the institutional website and through advertisement in at least two (2)

national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted and all other relevant information for the benefit of the candidates;

5.3.3 Adhere to the National/State-level reservation policy, as applicable from time to time.

5.4 Entrance Test: Admission to Ph.D. shall be through an Entrance Test and Interview.

Applications for Entrance Test shall be invited only once a year and the entrance test is conducted generally during September/ October. The Registrar (Evaluation) shall invite application from the eligible candidates.

5.5 The Entrance Test shall consist of **one paper on the broad area of Ph.D. of 100 marks with 3 hours duration. Syllabus of the paper shall be framed by the respective Boards of Studies based on UGC / CSIR National Eligibility Test (NET) pattern.** The question paper shall contain 50 objective type questions of one mark each, and essay type/ short answer questions for 50 marks. For candidates intending to do inter/ multidisciplinary research, the Entrance Test shall be a common Entrance test in a general paper and the syllabus of the paper shall be framed by the inter/ Multidisciplinary Board of Studies. A candidate securing at least 55 marks out of 100 (50 marks out of 100 in case of SC/ST/Cat-1 candidates) in the Entrance Test shall be declared as eligible to approach probable guide(s) / supervisor(s) and appear for an interview to be conducted for him/her. In case an eligible candidate desires to approach more than one probable guide he/she has to undergo interview test before each of the probable guide. The guide will prepare a merit list based on the performance of the candidate in the Interview conducted by him/ her.

The interview/viva voce shall also consider the following aspects, viz., whether:

5.5.1 The candidate possesses the competence for the proposed research;

5.5.2 The research work can be suitably undertaken at the Institution/College;

5.5.3 The proposed area of research can contribute to new/additional knowledge.

It should be noted that successful completion of entrance test and appearance for an interview before a probable guide just imply the eligibility of a candidate for admission to Ph.D. degree in the University, but shall not guarantee an admission to Ph.D. degree program. The results of the Entrance Test shall be declared by the Registrar (Evaluation) who shall issue the eligibility certificate to successful candidates in the Entrance Test. The eligibility certificate shall be valid for one year from the date of the entrance test till the next entrance test is notified.

5.6 Depending upon the vacancy a guide will notify his/her consent to the candidate in order of preference prepared by him / her .Such candidates who are provisionally notified may obtain the application for provisional registration/enrollment by submitting the consent/acceptance letter from the guide who has agreed to supervise the research work. The guide should also submit a declaration about the vacancy available as per regulations 4.5 (a, b and c). Registrar (Evaluation) will notify the same by issuing the provisional registration/Enrollment and monitor the details that regulations are adhered.

5.7 The process of entrance test is applicable to all candidates who intend to pursue research leading to Ph.D. degree and it shall be conducted for all research centers recognized by the University coming under the University by the Department concerned.

5.8 **Provisional Registration/Enrollment:** Candidates shall apply for Provisional Registration as Doctoral Candidates after payment of stipulated fee to the University. Application forms can be obtained from the office of the Registrar

(Evaluation), after submission of the consent/acceptance letter from the guide. The duly filled-in application form shall be sent to the Registrar (Evaluation), University of Mysore, Mysore 570005, through the Guide, Co-guide (s), if any, and the Head of the Department along with all necessary enclosures as stipulated in the form.

5.9 Candidates who have qualified JRF fellowships/lecturership through UGC/CSIR-NET/DBT-JRF/ICMR-JRF/ICAR Examinations/ SLET (KSET)/GATE are exempted from Entrance test. Candidates, who have completed M. Phil course/who have joined M.Phil. course are also exempted from the entrance test provided the M.Phil /Equivalent course was through an entrance examination. However all such candidates have to undergo an interview before the probable guide(s) and obtain the consent/acceptance letter from the guide, if vacancies are available.

6. REGULAR REGISTRATION:

6.1 All provisionally registered candidates shall undergo COURSE-WORK of one semester duration of 20 weeks inclusive course-end assessment. The University shall notify the time table and details of the course work including the schedule.

The performance of the candidate shall be assessed in continuous mode. The formative assessment during learning period will be for 60% and summative assessment at the end of the course will be for 40%. The formative assessment part could be distributed over 3 components C1, C2 and C3 spread over 16 weeks and each can be for a maximum of 20%. The summative assessment may be called as course-end component C4 and may be conducted in 2 parts, C4 (Part 1) and C4 (Part 2) if required and in such a case each can be for maximum of 20%.

The course structure and the suggested assessment scheme are presented in the table below:

Sl. No.	Course Title	Credits in L:T:P	Credit Value	Formative assessment (for a max of 60%) C1 (20%-latest by 6 th week), C2(20%-latest by 12 th week), C3(20%-latest by 18 th week)	Summative assessment C4 (for a max of 40%) (during 19 th -20 th week)	Total marks	Minimum to be scored for successful completion
1	Research Methodology (Note: Syllabus and Credit pattern to be decided by BoS)	2:1:2 or 2:2:1 or 2:3:0	5	Based on performance in tutorials/ seminars/ assignment/ practical- practice sessions/ discussions / review test(s)	As decided by the department council. The duration of the exam may be 3 hours. The chairman of the department acts as the coordinator	100	50
2	Literature review in the area of research (Note: Coverage and credit pattern as decided by the guide)	1:4:0 or 1:3:1	5	C1: Identifying a broad area for research and making a proposal, justifying the need and tracing the motivation and relevance C2: Material /Literature collection, discussion and seminar C3: Preparation of a draft report, identifying an approximate statement of the research problem and discussion.	Part 1: Report Part 2: Formal presentation and defence The chairman of the department acts as the coordinator	100	50

A candidate has to put in a minimum of 75% of attendance, failing which he/she is deemed to have not been successful in course work and the provisional registration of the candidate is cancelled.

6.2 (i) The Registrar (Evaluation) shall arrange to get the question paper set by external examiner (s), shall notify the date of examination and shall get the scripts evaluated by an external examiner for Course-1. The marks list for an overall marks of 100 (60+40) will be prepared by the office of the Registrar evaluation collecting the marks for 60 % of the formative assessment from the respective department chairpersons.

(ii) A final report prepared and submitted by the candidate for Course-2 which should contain review of the literature and development in that field and should conclude in identifying research problem in a broad perspective for carrying out Ph.D. work subsequently. This shall be jointly evaluated for 40 marks by the guide and co guide if any, and the external examiner.

The Chairman of DOS coordinates the conduction of seminar and open viva voce. The marks list for an overall marks of 100 (60+40) will be sent to the Registrar (Evaluation).

(iii) All candidates including those who have successfully completed M.Phil should undergo the course work. However M.Phil / Equivalent students may be given advantage of credit transfer in Course-1 provided the department council opines that the corresponding syllabus in M.Phil /Equivalent had at least 80 % of the syllabus in common.

6.3. (i) Candidates who are unsuccessful, but have fulfilled the attendance requirement, shall be permitted to avail make-up assessment period of a maximum of 8 more weeks from the date of provisional announcement of results by the Registrar (Evaluation).

(ii) The candidate who remains unsuccessful even in make-up assessment is declared to have not cleared the course work and his/her provisional registration status stands cancelled through a notification by the Registrar (Evaluation). A Candidate whose registration is cancelled and if they are keen on pursuing research then he/she has to reappear for entrance test.

(iii) All successful candidates receive a course completion certificate, containing the titles of the course and marks/ grades scored. For grading purposes the CBCS regulations may be followed.

6.4 Pre-registration Colloquium

(a) After successful completion of the Course Work as certified by the Registrar (Evaluation) a candidate, in consultation with his/ her Guide, shall identify the Title of the proposed research topic within two month of announcement of results. The candidate shall then prepare a research proposal in consultation with his/ her Guide and shall submit **five copies of the Ph.D. research proposal** to the Guide through Co-guide (s), if any. The Guide shall organize a meeting of the Doctoral Committee **within fifteen days** of receipt of the Synopsis to conduct the **Pre-registration Colloquium**.

(b) Every candidate shall ensure that the Research proposal clearly defines the objectives, methodology, expected results and their implications in terms of filling up gaps in existing knowledge and its social/ scientific relevance.

(c) Every candidate shall prepare a brief technical report comprising literature Survey/ work plan and the scientific relevance of the proposed research and shall present it in the form of a colloquium before the Doctoral Committee.

(d) The doctoral Committee is authorized to suggest changes, if necessary, in the title/scope, methodology of the topic selected for research, based on the performance of the candidate in the Pre-registration Colloquium.

(e) The Doctoral Committee shall assess the preparedness of the candidate and may recommend to present the colloquium again if the performance/ preparedness of the candidate in the first instance is not satisfactory. Only one re-appearance is permitted within 2 months form the date of the first Colloquium.

(f) If the Doctoral Committee does not approve the research proposal even after the second presentation, such a candidate, after a lapse of one year from the date of the second presentation, can again present the Pre-registration Colloquium, **after fresh Provisional Registration without undergoing Course Work.**

6.5 The Chairperson of the Doctoral committee shall inform the decision of the Pre-registration Colloquium to the Registrar (Evaluation) of the University through the Head of the Department, as well as to the candidate within one week of the Colloquium. Based on the recommendations of the Doctoral Committee, the candidate is **permitted to apply for Registration.**

6.6 Ph.D. Registration: Application for Registration with prescribed fees shall be submitted to the Registrar (Evaluation) along with 15 copies of the Synopsis through the Guide ,Co-guide, if any and the Head of the Department, after successful completion of the Pre-registration Colloquium. Incomplete application forms shall be returned to the candidate through the Head of the Department for necessary action and the completed application has to be resubmitted to the Registrar (Evaluation) through the Head of the Department.

6.7 Candidates are eligible to apply for Registration **within six months** from the date of successful completion of the Ph.D. Course work as certified by the Head of the Department. If any candidate fails to apply for Registration within six months from the date of successful completion of the Course Work, he/ she forfeits his/ her claim for Registration. Such a candidate has to re-apply for admission and go through the Entrance Test afresh.

6.8 (a) The office of the Registrar (Evaluation) has to forward the application for Ph.D. Registration **to** the Chairperson of the concerned BOS **within fifteen days** of receipt of the application.

(b) The Chairperson BOS shall arrange to obtain the Recommendations of the members in writing **within one month** from the date of receipt of application from the Registrar (Evaluation), consolidate the decision of the Board and inform the same to the Registrar (Evaluation) along with **four copies** of the approved synopsis.

(c) The Registrar (Evaluation) has to **notify the Registration within fifteen days** of the receipt of the recommendations of the BOS to the candidate/ Guide/ Chairpersons of Board of Studies/ Department/ Research Institute/ Doctoral committee members. The Registration is effective from the date of Provisional Registration.

(d) In case the Board of Studies suggests changes in the Ph.D. Synopsis, the Registrar (Evaluation) shall inform the candidate about such recommendation and ask the candidate to submit the Synopsis afresh by repeating a Pre-registration Colloquium as in 6.4.

6.9 The Ph.D. Registration is **valid for SIX years only** from the date of Registration.

(i) Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.

(ii) The women candidates and Persons with Disability (more than 40% disability) are allowed a relaxation of two years for Ph.D. in the maximum duration with regular fee. In addition, the women candidates may avail Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

(iii) In case of relocation of an woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

(iv) Part-time Ph.D will be allowed provided all the conditions mentioned in the extant Ph.D Regulations are met. However part-time does not imply that the candidate is allowed to work through distance education mode.

6.10 Foreign national candidates have to comply with regulations mentioned in Annexure separately.

7. PROGRESS OF RESEARCH WORK

7.1 After Provisional Registration, a candidate is required to submit the following to the Registrar (Evaluation) through the Guide and the Head of the Department **once a year within one month of completion of the year.**

(a) Progress Report of Research Work done by the candidate.

(b) Prescribed tuition and laboratory fees shall be paid and challan to accompany the progress report.

(c) Recommendation of the Guide regarding progress of research recorded in the progress report.

7.2 **Failure to submit two Consecutive Research Progress Reports** shall entail cancellation of the Registration, and this shall be notified by the Registrar (Evaluation).

7.3 The candidate shall publish at least two research articles as main author/ co-author based on his/ her Research Work in peer reviewed journal/s of repute and should present one paper in a conference / seminar/ workshop to be eligible to submit the final thesis to the University. If the published reprints are not available, the candidate has to provide the evidence of acceptance of two journal papers attested by the guide.

8. SUBMISSION OF THE THESIS AND EVALUATION:

8.1 (a) The candidate is eligible to **submit his/ her Thesis only after completing 3 years of Research Work** from the date of his/ her Registration, i.e., from the date of provisional registration.

Pre-thesis Submission Colloquium:

(b) A candidate shall submit 5 copies of the Synopsis of his/ her Ph.D. Thesis highlighting contents of the Thesis and enclosing evidences of two research publications in peer reviewed journal/s to the Chairperson of the Doctoral Committee.

(c) The Chairperson of the Doctoral Committee (RAC) shall organize **the Pre-thesis Submission Colloquium** meeting in the concerned Department in consultation with the Head of the Department within fifteen days of the receipt of the Synopsis.

- (d) The Doctoral Committee shall advise and offer suggestions to the candidate for the finalization of the Thesis.
- (e) The Chairperson of the Doctoral Committee shall inform the decision of the Pre-thesis Submission Colloquium to the Registrar (Evaluation) of the University as well as to the candidate **within a week** of conducting the Colloquium.
- (f) If the Doctoral Committee is not satisfied with the Pre-thesis Submission Colloquium of a candidate, it may ask the candidate to reappear for the Colloquium again **after a gap of one month**.
- (g) **After successful completion of the Pre-thesis submission colloquium a candidate shall submit 10 copies of the synopsis of his /her Ph.D. thesis with prescribed fees to the Registrar (Evaluation)through the guide and co-guide(s) if any, and the Head of the department.**
- (h) **The synopsis shall be forwarded, within two weeks, by the office of the Registrar (Evaluation)of the University to the Chairperson of Board of studies in the concerned subject, seeking panel of examiners approved by the Board of Studies**

8.2 Submission of Ph.D. Thesis:

- (a) A candidate shall prepare a Thesis embodying results of original research done by him/ her and **submit 4 copies of Ph.D. Thesis in soft binding form and an electronic version of the Synopsis and Thesis in .PDF format (3 CDs) for the evaluation, within 3 months from the date of submission of the Final Synopsis.** Failure to submit the Thesis within this period shall entail cancellation of the Ph.D. Registration of the candidate.
A candidate has to procure a certification regarding the plagiarism test conducted on the thesis.
- (b) A certificate duly signed by the Guide and Co-guide, if any, to the effect that the candidate has produced as main author/ co author, two research articles based on his/ her research work in his/ her Ph.D. Thesis and that the Research Work and the Thesis content has not been previously submitted by the candidate or the Guide or the Co-guide, if any, either for award of any Degree or Diploma to this or any other University, shall be enclosed along with the Thesis.
- (c) The final submission of the Thesis has to be **within the stipulated Six Years from the date of Registration.**
- (d) If any candidate fails to submit his/ her Ph.D. Thesis within six years, he / she may apply to the University for **Extension of his/ her Registration for a maximum of one more year** with the recommendation of the Guide, through the Head of the Department, by remitting the prescribed fee.
- (e) If the candidate fails to submit Thesis even after seven years then his/ her Ph.D. Registration is annulled and the Registrar (Evaluation) shall notify the same. Such a candidate has to begin the admission process of writing entrance examination if he/ she desires to work again.

8.3 Evaluation of the Ph.D. Thesis: The Thesis shall be evaluated by the Board of Examiners as follows:

- (a) The Thesis shall be evaluated by the Board of Examiners of the Thesis, with Guide as the Chairperson of the Board and also as an Internal Examiner and two External Examiners.
- (b) Upon receiving the letter from the Registrar (Evaluation) as in 8.3, the Chairperson of the concerned Board of Studies shall submit to the registrar (Evaluation) a **Panel of a minimum of twelve examiners drawn from different Universities, Research Institutions/Laboratories from India and abroad** However, the panel shall not have more than four examiners from Karnataka unless a valid justification is provided to have more examiners from Karnataka state.

(c) The Panel shall be prepared by the Chairperson of the concerned Board of Studies in consultation with the Guide and shall obtain approval of the members of the concerned Board of Studies by circulation before sending the Panel to the Registrar (Evaluation). The panel of examiners shall be senior faculty/ Scientists / Proven researchers with at least 10 years of experience.

(d) This process has to be completed by the Chairperson of the concerned BOS **within two weeks** of receipt of the Synopsis of the Ph.D. Thesis from the Registrar (Evaluation).

(e) The Registrar (Evaluation) shall seek the acceptance from two of the Examiners in the Panel in the order of preference as approved by the Vice Chancellor.

(f) The Examiners shall be asked to sign a Declaration that he/ she is not a relative of the candidate or the Guide or the Co-guide and that he / she has no conflict of interest in adjudicating valuing the Ph.D. Thesis.

(g) The Examiners have to examine whether the candidate has achieved the objectives mentioned in the thesis while preparing his/her report on the thesis.

8.4 Evaluation Reports:

(a) The External Examiners shall send the **Evaluation Report directly to the Chairperson** of the Board of Examiners of the Thesis, **with a copy (mandatory)** to the Registrar (Evaluation) of the University.

(b) Apart from the Evaluation Report, each Examiner is required to submit a **Short Report in the prescribed Performa** sent by the University duly signed and sent as **Hard Copy/FAX/ Scanned Image**.

8.5 Decision about the Evaluation:

(a) If **both External Examiners reject the Thesis outright**, the Registrar (Evaluation) shall notify rejection of the Thesis and cancellation of Ph.D. Registration to the candidate and Guide.

(b) If **one** of the External Examiners **rejects** the thesis, the thesis shall be referred to **another** examiner from the approved panel. If this Examiner also **rejects** the Thesis, the Registrar (Evaluation) shall notify **Rejection of the Thesis** and cancellation of Ph.D. Registration to the candidate and Guide.

(c) If any one of the Examiners recommends **Revision and re-submission** of the Thesis, then the candidate shall revise the Thesis based on the suggestions made by the Examiner (s) and submit the revised thesis, duly certified by the Guide and with payment of the prescribed fees to the Registrar (Evaluation) of the University through the Head of the department. The Registrar (Evaluation) shall send the Revised Thesis **within fifteen days** to the same Examiner (s), if they have mentioned that the re-submitted thesis has to be revaluated by them.

(d) If any Examiner (s) recommends the award of degree after incorporating the suggested revisions/ corrections, such modifications shall be complied with by the candidate and Guide and ratified by the Doctoral Committee upon receipt of the letter from the Registrar (Evaluation). After ratification, the Revised Thesis shall be submitted to the Registrar (Evaluation) along with the prescribed fees.

(e) If both External Examiners recommend acceptance of the Thesis, the Chairperson (the Guide), Board of Examiners shall send it to the Registrar (Evaluation) the following reports:

(f) The original Evaluation Reports of the two External Examiners along with the Evaluation Report of the Internal Examiner (Guide).

(g) A Consolidated Report highlighting the main points in the Evaluation Reports of two External Examiners, together with the recommendations of the Guide as the Chairperson of the Board of Examiners.

8.6 VIVA VOCE DEFENSE:

(a) After the receipt of the above mentioned Evaluation and Consolidated Reports from the Chairperson, Board of Examiners of the Thesis, the Registrar (Evaluation) shall ask the Chairperson of the Doctoral Committee of the concerned candidate to conduct an open Viva-Voce session in the presence members of the Doctoral Committee, members of the concerned Faculty, research scholars and students by giving wide publicity as it is an open viva voce examination.

The Proceedings of this meeting and the original Evaluation and Consolidated Reports shall be sent to the Registrar (Evaluation) **along with 3 copies of the thesis bound (hard copies) after all corrections incorporated**, if any, to the Registrar (Evaluation) to notify the declaration of the result. The electronic version of the corrected thesis shall also be submitted (3 cds). The guide has to insure that cds contain the entire thesis submitted including corrections if any.

(b) If the candidate desires or if the Guide is out of station, then the viva-voce session may be held via video conferencing as described in 8.7a after payment of necessary additional fees prescribed by the University.

(c) In case of the death/disability/non-availability of the Guide, or legal actions on the Guide initiated by the administration, the Vice-Chancellor may nominate a member from the Panel of Examiners/Chairperson of respective Board of Studies to act as the Chairperson, Board of Examiners of the Thesis to adjudicate the thesis and to conduct the Viva-Voce examination.

8.7 Ph.D. Notification: The Ph.D. Declaration Notification by the Registrar (Evaluation) shall be on the Official Letter Head and shall contain:

(a) The Name of the candidate, (b) the Discipline/Subject of the Ph.D. (c) the Names of Guide, Co-guide (s), if any (d) the Name of the Department where the research work was carried out.

(e) The Title of the Thesis and also the language in which the thesis is written.

Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

8.8 The Registrar (Evaluation) shall affix a Seal with the University Emblem stating that the Thesis was accepted for the award of Ph.D. Degree as per **2017** Regulation and issue this copy to the candidate. After the notification is issued the thesis will be hosted on the website and same will be sent to Inlibnet, as prescribed by UGC.

8.9 Plagiarism charges and subsequent actions:

(a) If the University receives complaint of plagiarism with sufficient evidence or if any Examiner points out occurrence of plagiarism in the Thesis, the Thesis shall be sent to a subject Expert selected by the Vice-Chancellor from the panel of experts forwarded by the BOS, to verify and ascertain the occurrence of plagiarism.

(b) If plagiarism is proved, then a show cause notice shall be issued to the candidate and the Guide. After reply to the show cause notice, all documents/reports/answers to the show cause notice shall be placed before the Syndicate for appropriate action including possible annulment of Registration of the candidate and initiation of disciplinary action against the candidate and the Guide.

(c) Unsigned and undated complaints without the address of the complainant shall not be entertained by the University.

(d) The University shall also strictly maintain confidentiality of the name and address of the complainant.

9. CHANGE OF TITLE/ GUIDE:

(a) A candidate desiring to change the title of the Thesis shall apply to the Registrar (Evaluation) with 10 copies of revised Synopsis and changed Title through the Guide and Head of the Department after paying the prescribed fee.

(b) The Registrar (Evaluation) shall seek the opinion of the BOS for the change of title. Such a change can be permitted anytime before the Pre-thesis Submission Colloquium.

(c) If a candidate decides to change the topic of research, his / her registration stands cancelled, and the candidate has to undergo the Provisional Registration process again.

(d) Generally, change of Guide is not permissible. It may be permitted only under exceptional circumstances such as death/disability/other medical conditions of the Guide or legal actions on the Guide by the administration. However, if there is any written complaint about conflict between the Guide and the candidate, the Registrar (Evaluation) shall refer the matter to a Committee constituted by the University whose decision has to be placed before the Vice-Chancellor for final decision.

PUBLICATION OF THE THESIS:

If a candidate intends to publish the Thesis, he/she shall seek the permission of the University. The University will examine whether the thesis has been accepted for publishing.

OUTSTANDING ISSUES:

Any issue not covered by the foregoing shall be governed by the decision of the Vice-Chancellor.

Annexure Pertaining to Foreign Students

A1: Definition of a Foreign/International Candidate

“Foreign Candidate”/ “International student” means any person who holds a passport/valid Identity Card issued by a country other than India.

A2: Eligibility:

With the exception of those Foreign/International candidates who have obtained their qualifying degrees from the University of Mysore, all others (Including those whose masters' degrees are from other Indian Universities) have to obtain a Certificate of Eligibility issued by the University of Mysore.

In the event of an International/Foreign candidate seeking Eligibility in more than one discipline, separate applications have to be submitted for each discipline with supporting documents, and a Certificate of Eligibility stating that he/she has the eligibility to pursue Ph.D. in that subject must be obtained, Eligibility given for one subject cannot be transferred to another subject.

A3: Research Visa:

All Foreign/International candidates have to obtain a valid **Research Visa** for pursuing research in the University of Mysore. Foreign nationals with „Student Visa“ „X Visa“, „Tourist Visa“ or any other form of Visa cannot carry on Research in the University of Mysore.

Those Foreign/International candidates who have obtained their Masters' Degrees from the University of Mysore and who have submitted their passports for conversion of their Student Visas to Research Visas to the Foreign Registration Office in the Office of the Mysore City Police Commissioner will only be given a provisional registration. They can take up course work and appear for the examination to be conducted at the end of course work.

Obtaining a letter from the Foreign Registration Office that his/her application has been forwarded to the Ministry of Home Affairs for obtaining final approval for conversion of Student Visa to Research Visa is mandatory for a foreign national/international candidate for seeking provisional registration. After obtaining this letter from the Foreign Registration Office, an international/foreign candidate has to obtain a letter granting provisional registration from the Registrar Evaluation, University of Mysore.

The letter from the Foreign Registration Office and Registrar Evaluation have to be submitted to the International Centre for obtaining a No Objection Certificate for provisional registration. Only those foreign nationals who have a valid Residential Permit Can seek provisional registration from the University of Mysore. Permanent registration shall be given only on submission of Research Visa.

A4: Letter of Permission to Seek Research Visa:

Those foreign candidates, whose Masters' degrees are from universities other than that University of Mysore, must obtain a Research Visa from the Indian Diplomatic Mission in their respective countries, prior to seeking permanent registration in the University of Mysore and Permission to seek research visa must be submitted to the Registrar Evaluation, through the concerned department and the International Center. The prescribed application form along with marks transcripts, certificate of eligibility, and supervisor's letter of consent and a brief outline of the research proposed to be conducted must be submitted to the International Center along with the application duly signed by the research supervisor and the chairperson. After verification of the documents the International Center will forward the application for seeking research visa to the Registrar Evaluation for issuance of Letter of Permission to seek Research Visa.

After obtaining the letter of permission from the Registrar Evaluation, a foreign national has to submit to the Ministry of Home Affairs, Government of India, eight sets of applications duly signed by the Registrar, University of Mysore, for submission to the Indian Diplomatic Mission for consideration of issuance of Research Visa.

A5: English Proficiency Test:

All foreign candidates who are seeking research opportunities in the University of Mysore must undergo an English Proficiency Test. Those who fail to qualify this Test will have to take a mandatory English language course as prescribed by the University of Mysore along with the Ph.D. Course work. The international Centre shall coordinate the conduction of this course.

GENERAL PROCEDURES: ENTRANCE TEST, PRE-REGISTRATION, COURSE WORK AND REGISTRATION:

1.1 All candidates shall apply for entrance test and shall get qualified. Section-5 describes the procedures and the exemptions granted to some specific candidates.

1.2 Mere qualification in the entrance test shall not necessarily entitle a candidate for Ph.D. enrolment.

1.3 After selection, the candidate has to provisionally be registered for the doctoral programme with the Registrar (Evaluation), as per Section-5. Application for pre-registration may be obtained from the office of the Registrar (Evaluation) after payment of prescribed fee. Foreign candidates are advised to follow the Annexure.

1.4 After successful completion of course work as certified by the Head of the Department as per regulation 6, a candidate has to deliver a pre-registration colloquium as per regulation 6.

1.5 After successful completion of pre-registration colloquium, a candidate has to apply to the Registrar (Evaluation), by payment of prescribed fee, for registration as per regulation 6.

1.6. Candidates shall submit progress reports and pay prescribed tuition fee / laboratory fee wherever applicable, before the end of every year from the date of provisional registration, without fail, as per regulation 7. Failure to submit two successive research progress reports / pay tuition fee entails cancellation of registration as per regulation 7.

GUIDELINES FOR DOCTORAL RESEARCH

The Ph.D. program of the University of Mysore entails two stages:

1. Entrance Test, Appearing before the probable guide, consent by the guide Provisional Registration, Course work and Registration .

2. Conduction of Research, Progress and Thesis Submission .

The following guidelines indicate procedures to be followed to maintain certain minimum standards in doctoral work. These procedures should help in minimizing large scale variations in the formats followed in doctoral work.

G-1 ENTRANCE TEST, PROVISIONAL REGISTRATION, COURSE WORK AND REGISTRATION:

1.1 All candidates shall apply for entrance test and shall get qualified. Section-5 describes the procedures and the exemptions granted to some specific candidates.

1.2 After successful completion of the Entrance test and interview before the probable guide, the candidates who are eligible can obtain the application for enrollment/provisional registration by submitting the consent/acceptance of the guide who has agreed to supervise and vacancies are available as per regulations 4.5 a, b and c by submitting the declaration. Foreign national candidates are required to follow the procedure specified in Annexure.

1.3 After successful completion of course work as certified by the Head of the Department as per regulation 6, a candidate has to deliver a pre-registration colloquium as per regulation 6.4.

1.4 After successful completion of pre-registration colloquium, a candidate has to apply to the Registrar (Evaluation), by payment of prescribed fee, for regular registration as per regulation 6.6.

1.5 Candidates shall submit progress reports and pay prescribed tuition fee / laboratory fee wherever applicable, before the end of every year from the date of provisional registration, without fail, as per **regulation 7**. Failure to submit two successive research progress reports / pay tuition fee entails cancellation of registration as per **regulation 7**.

G2. PH.D. THESIS SUBMISSION:

2.1 A doctoral candidate is eligible to submit the thesis only.

(i) After completing **three years** of research work from the date of enrollment/provisional registration as **per regulation 8** and

(ii) After publishing/ getting acceptance letters for at least two research articles based on the research work related to the thesis, as per **regulation 7 & 8**.

2.2 A candidate has to prepare thesis and submit 10 copies of synopsis and **04** copies of thesis and three cds (Electronic version of the thesis submitted)as per regulations 8.

2.3 All candidates shall follow the guidelines below while preparing their thesis:

The Abstract

An Abstract in English shall be included in the preliminary section of the thesis. The abstract in the body of the thesis follows the style used for the rest of the manuscript and should be placed following the Certificate page. The abstract should reflect the contents of the thesis.

Evidence of Publication

At the end of the thesis, reprint of published papers or acceptance letters with manuscripts may be enclosed.

Thesis Copies

Four bound copies of the thesis must be submitted. The electronic version of thesis is to be submitted in CD in PDF form. A Candidate should keep a copy with him/her.

Certificate

The Certificates in the enclosed format shall be enclosed in the thesis.

Copies

Good quality paper must be used for copies and photocopy of the final copy should be such that it ensures consistent quality without gray or dark casts to the background. All copies shall be on white A4 paper and on both sides of the paper.

Typeface

Type size should be 12 point or large. Script or ornamental fonts should not be used. Print must be letter quality. Accent marks and hand annotation must be done, neatly in black ink.

Margins

Margins on the binding edge must be 1.5 inches and all other margins must be one inch. (Pagination, headers and/or footer may be placed within the margin, but no closer than one-half inch from the edge of the page).

Spacing

One and a half or double spacing is to be followed in the main body excepting in presenting foot notes, tables etc. Final copies of the thesis must be clear and attractive. Each copy should be reviewed for evenness and clarity of type, missing pages and crooked text.