

Ph.D. PROGRAMME: REGULATIONS - 2020

PREAMBLE

The Ph.D. Regulations - 2020 of Karunya Institute of Technology and Sciences (KITS) is drafted based on the UGC Ph.D. Regulation 2016. This regulation is mainly intended to operationalize the UGC Regulation in the most effective manner in KITS.

1. ELIGIBILITY

1.1. Master's degree of any recognized university or any other qualification recognized as equivalent thereto in the fields of study notified from time to time by KITS.

1.2. Minimum eligibility is 60% marks or equivalent CGPA (Cumulative Grade Point Average). However, 5% relaxation is given to the candidates belonging to scheduled caste / scheduled tribe.

2. CATEGORIES OF Ph.D. CANDIDATES AND PLACE OF RESEARCH

2.1. There shall be three categories of Ph.D. candidates as listed under:

2.1.1. **Full Time (FT):** All approved candidates who pursue full-time study and research in KITS shall belong to this category. The project staff/associates at KITS, pursuing Ph.D. programme, shall also come under this category.

2.1.2. **Part Time – Internal (PTI):** All approved candidates who are employed in KITS and actively involved in the relevant area of teaching, research or development as part of their regular work shall belong to this category.

2.1.3. **Part Time – External (PTE):** Candidates working in industry involved in R&D activities or working in any academic institution accredited by NAAC / NBA /

ABET or research organizations recognized by KITS, and who are permitted to pursue Ph.D. programme in this institution while continuing in their job, shall belong to this category. While such candidates shall pursue research in their place of employment, they are expected to report to their respective supervisors as and when required.

2.2. Research Outside KITS:

During the course of the Ph.D. programme, for reasons approved by the Doctoral Committee (DC), a candidate may be permitted to spend a maximum of one year in an institution or on a project approved for the purpose, outside KITS for carrying out research in areas related to the subject of investigation. The conditions for this will be laid down by the Board of Research and Consultancy (BRC) from time to time.

3. DURATION OF THE PROGRAMME

3.1. The duration of the programme and minimum time for submission of thesis after the date of registration for different streams of candidates will be as per the table given below:

Qualifying Degree		Full time	Part Time
A	Master’s degree in Engineering/ Agriculture/Veterinary Sciences/Medicine, etc.	3 years	4 years
B	Master’s degree in Science (Research) / M.Phil. in Arts / Science / Humanities / Management		
C	Master’s degree in Arts / Science / Humanities / Management / Education		

3.2. In all the above categories, the maximum period for completing the Ph.D. programme shall be six years. In exceptional cases, maximum period shall be extended by half a year at a time, maximum of four times based on the recommendation of DC. This is subject to the approval of BRC.

3.3. A candidate can avail a break in study on medical / any valid reasons during the course of study. This period will not be counted as part of the minimum / maximum period.

4. ADMISSION PROCEDURE

- 4.1. Candidates aspiring to register for Ph.D. degree shall submit the application in the prescribed proforma through proper channel, wherever applicable in response to the advertisement by KITS.
- 4.2. All eligible applicants will be called for a written test and an interview. The admissions will be based on the merit list which is prepared considering consistent academic and research record, performance in the entrance test and interview. The cut-off for selection is 50%.
- 4.3. The eligible candidate will be issued a provisional admission letter by the Admission Office of KITS.
- 4.4. Candidates shall be admitted for the programme only at the beginning of the semester. The candidate will continue to pay the prescribed annual fees as fixed at the beginning of the semester of registration, in order to keep the Ph.D. registration valid until the thesis is submitted. If a candidate fails to do so within the permissible dates of payment of fees, the registration shall be withdrawn and the candidate's name removed from the rolls after referring to the supervisor.
- 4.5. Provisional admission will be given in the beginning only after paying the fees and submission of all original certificates as required by KITS.
- 4.6. Within a week of admission, the Department Research Committee (DRC) along with all approved research supervisors of the department will allocate supervisors for each candidate and the same will be approved by the Head of the Department (HoD) and copy sent to the Registrar and Dean of the School for subsequent ratification by BRC.

4.7. The letter confirming the registration will be issued after the candidate successfully defends comprehensive viva-voce. The date of registration shall be the date on which the Zeroth DC is held.

4.8. Transfer Policy:

4.8.1. A Ph.D. scholar, who has registered under another university and wishes to transfer his Ph.D. registration to KITS, shall produce a 'no objection certificate' (NOC) from: i) the university concerned, ii) supervisor of the previous organization, iii) joint supervisor (if any), and iv) department concerned.

4.8.2. The Director (Admissions) shall forward the application form along with NOCs to the department for scrutiny and action. DRC shall interview the scholar and verify his/her credentials, subject knowledge, extent and quality of research work carried out and submit the recommendation to the Registrar through the Dean of the School and Dean (Research)/Coordinator (Research).

4.8.3. Upon granting admission in KITS, the HoD shall appoint the supervisor based on the expertise in the area of research concerned. The supervisor shall constitute DC as per the existing norms. DC shall recommend the minimum/maximum period of completion and the number of credits that can be transferred, if the scholar has already completed the course work. The recommendations of DC shall be validated by the office of Dean (Research)/ Coordinator (Research) and the same shall be submitted for approval to the Chairman, BRC.

5. SUPERVISORS AND NUMBER OF CANDIDATES

5.1. Recognition:

Recognition of supervisor for guiding a Ph.D. scholar will be accorded by the Chairman, Academic Council (AC) based on an application in the prescribed format and on the recommendations of BRC, provided the applicant possess the following:

- 5.1.1. A Ph.D. degree in the relevant or allied areas of research in which he/she proposes to guide the candidate;
 - 5.1.2. A minimum of two publications in the relevant or allied areas of research in a refereed journal (with Scopus index/ Web of Science) or one patent;
 - 5.1.3. He / she should have completed one year after the award of Ph.D. degree with one publication in a journal with Scopus index after Ph.D.;
 - 5.1.4. He / she should have applied for research funding to government or reputed private institutions as the Principal Investigator (PI);
 - 5.1.5. He / she should have a minimum of three years of service left at the institute.
- 5.2. An updated and approved panel of recognized supervisors for the Ph.D. programme at KITS shall be maintained by the Office of the Dean (Research)/ Coordinator (Academic Research). Faculty members of KITS, who can guide in interdisciplinary areas, shall register themselves in the relevant departments. DRC shall examine and recommend the application form to BRC. The faculty member can be included in the panel of recognized supervisors after the approval of BRC.
- 5.3. All categories of Ph.D. candidates shall be required to work under a recognized supervisor of KITS. The scholars can also have a joint supervisor depending on the nature of work.
- 5.4. In the case of PTE scholars, there shall be a coordinator from the organization where the candidate proposes to do research, if the research involves experiments and/or data collection as specified by DC.

- 5.5. When the supervisor of a candidate happens to be away from KITS on other assignments for more than six months, he/she may continue to guide the candidate, but a joint supervisor / coordinator from KITS shall be officially nominated by DRC considering the research capabilities, background and willingness, as per Section 5.1 of this Regulation, in consultation with the supervisor.
- 5.6. If the supervisor is terminated from the service, his recognition as supervisor stands cancelled.
- 5.7. When a supervisor resigns from KITS, he/she shall forfeit his/her claim as a research guide unless otherwise recommended by the Chairman, BRC considering all relevant factors.
- 5.8. All recognized supervisors shall comply with the code of conduct of KITS for supervisors and shall submit an undertaking to that effect.

5.9. Provision for Changes:

5.9.1. Change of Supervisor:

The research scholar may write to HoD, in case a change of supervisor is essential. The HoD will request DRC to scrutinize the request and send its recommendations. If DRC approves the request, a new supervisor is assigned with required credentials as per Section 5.1. The HoD shall appoint the new supervisor after getting an NoC from the previous supervisor. This shall subsequently be ratified by BRC. In such cases, DC can also be reconstituted by the new supervisor with the approval of HoD after obtaining an NoC from the previous DC members.

5.9.2. Change of Category:

A FT research scholar may change the category from FT to PT and vice-versa depending on valid grounds. The research scholar shall write a letter to the HoD along with the recommendations of DC. In such cases, the duration of the

programme shall be pro-rated by the office of Academic Research. Changing the category from FT to PT is possible only after six months from the date of registration. The change shall subsequently be ratified by BRC.

5.10. Number of Candidates:

A supervisor shall have a maximum of six doctoral candidates at any point of time. In addition to this, a supervisor can act as joint supervisor for not more than two candidates.

6. DOCTORAL COMMITTEE

- 6.1. There shall be a DC for every scholar to monitor the progress of research work.
- 6.2. For every scholar, the supervisor shall furnish a panel of three experts from outside KITS with doctoral degree in the field of proposed research, from the faculty members of a university / affiliated college / experts from R&D departments / national laboratories / any other relevant laboratories, from which one expert will be selected by the HoD.
- 6.3. The HoD will select a second expert from KITS based on an internal panel list submitted by the supervisor.
- 6.4. The supervisor of the scholar shall be the convener of DC.
- 6.5. The joint supervisor, wherever applicable, shall also be a Member.
- 6.6. In the event of the supervisor of KITS leaving the University temporarily or permanently, the joint supervisor / coordinator shall be the convener.
- 6.7. All communications shall be routed through the HoD as far as possible.

7. PRESCRIPTION OF COURSE WORK AND COMPREHENSIVE VIVA-VOCE

7.1. Course Work:

7.1.1. DC of the candidate shall meet within thirty days of admission and prescribe the course work for the candidate.

7.1.2. Three courses at the PG level and literature review are mandatory, for all scholars. The prescribed courses must be offered under any approved programme of KITS and should not have been studied by the scholar during his/her post graduate course. The course work along with literature survey shall be recommended by DC in the Zeroth DC meeting.

7.1.3. All PT/FT scholars should undergo research methodology as one of the three courses in regular mode. If a research scholar has already completed the research methodology course in M.Phil. / M.S. programme, he/she may be exempted from registering for the same but he/she has to study another course *in lieu* of it, as recommended by DC.

7.1.4. FT scholars are required to attend class work for a minimum of 2 courses (research methodology and one department subject, if offered) and fulfil the requirement of 85% attendance. All PT scholars are expected to register their courses, except research methodology, under self-study mode with the Controller of Examinations (CoE) as per the guidelines.

7.1.5. Every student has to undertake course work for a minimum period of one semester for subjects at PG level being offered under any approved programme of KITS as recommended by DC.

7.1.6. No change in the courses prescribed shall be made without the prior approval of DC.

7.1.7. The scholars are required to register for courses including the literature survey (0:0:4) within 15 days after the commencement of any semester.

7.1.8. Every student should acquire a minimum CGPA of 6.0 through prescribed courses, failing which the scholar shall reappear for the examinations in one or more courses in which the scholar has scored low grades to acquire the minimum required CGPA, except in the case of literature survey.

7.1.9. As part of the course work, at the end of the semester, every scholar is required to submit an extensive literature review report and present it in a seminar for which a credit of 0:0:4 is assigned. The presentation should be comprehensive and exhaustive and will be open to all faculty and research students of the department and shall be attended by DC members.

7.2. Comprehensive Viva-voce:

7.2.1. Comprehensive viva-voce should be conducted after the completion of course work and literature review but within 18 months of the date of registration.

7.2.2. Comprehensive viva-voce shall be conducted by DC members.

7.2.3. Subject code for comprehensive viva-voce will be CV3991.

7.2.4. The scholar can proceed further with his/her research work, only if his/her performance in the comprehensive viva-voce is found to be satisfactory.

7.2.5. If the scholar's performance in the comprehensive viva-voce is found to be unsatisfactory he/she may be given one more chance for reappearance. His/her Ph.D. registration will be cancelled, if he/she fails in the second attempt.

8. MONITORING THE PROGRESS OF CANDIDATES

8.1. Submission of Progress Report and Fee Receipt:

8.1.1. Every PT/FT research scholar of KITS shall submit the progress report of the previous semester and the fee receipt of the current semester on or before fifth working day of every semester, till the submission of thesis.

8.1.2. If a scholar fails to do it on or before fifth working day of every semester, a reminder notification will be sent from the Research Office through SMS/email to submit the progress report and fee receipt before the fifteenth working day with a late fee of Rs.500/-.

8.1.3. A scholar, who fails to respond to this will be put on 'out-of-rolls' on the sixteenth working day. Subsequently for re-joining the course, the scholar will have to pay the re-admission fee of Rs.1000/-. There will not be any extension in the minimum or maximum duration of submission of thesis *in lieu* of the period in which the student was 'out-of-rolls'.

8.1.4. If the scholar fails to respond throughout the semester to clear his 'out-of-rolls' by paying the fee and submitting the progress report, the registration of the scholar shall be automatically cancelled at the end of the semester.

8.2. Discussion with Supervisor:

8.2.1. Each FT scholar is required to meet and discuss with his / her supervisor(s) at least once in a week and report the progress of the research work. The scholar has to be present in KITS every working day and do required works related to his/her Ph.D. programme.

8.2.2. PTI scholars are required to meet and discuss with his / her supervisor(s) at least once in a month and report the progress of the research work.

8.2.3. PTE scholars are required to meet and discuss with his / her supervisor(s) at least once in two months and report the progress of the research work, if they are working far away from KITS.

8.2.4. PTE scholars are required to meet and discuss with his / her supervisor (s) at least once in six months and report the progress of the research work, if they are working outside India.

8.2.5. All PTE scholars should submit NOC from their current employers every year before 31st July.

8.3. The supervisor shall arrange DC meetings with the external member once during the Zeroth DC meeting, followed by one during the comprehensive literature survey and finally another during the Synopsis DC meeting. If required, DC meetings other than those specified above can be conducted with the external member through video conferencing, which is not mandatory. The supervisor will send the minutes [Proforma VIIa] of DC meeting along with the progress report to HoD and a copy to the office of Academic Research. Irregularities in conducting DC meetings and submission of progress reports may lead to the cancellation of registration of the candidate.

9. CANCELLATION OF REGISTRATION

The registration of a candidate, whose progress is either not satisfactory or who has exceeded the maximum period (including grace period) stipulated for the Ph.D. programme or fails to respond as given in section 8.1.4., shall be cancelled by BRC based on the recommendation of DC.

10. SYNOPSIS OF THESIS

10.1. On satisfactory completion of the research work and after the successful completion of all prescribed courses, seminar on literature survey, and the comprehensive viva-voce, the candidate shall submit six copies of the synopsis of the Ph.D. work to DC through the supervisor. The earliest date for the submission of synopsis shall be six months before the expected date of submission of thesis as per the norms. However, the thesis can be submitted only after the completion of the specified minimum period.

10.2. The synopsis shall be accepted only when the research scholar has fulfilled the following:

10.2.1. At least two papers either published or accepted for publication in a refereed national / international journal (indexed in Scopus / Web of Science)

and

10.2.2. At least two papers presented in national / international conferences conducted by institutions of national importance or other premier institutions (copy of the certificate endorsing the presentation should be produced for record)

OR

10.2.3. At least one patent filed and published (through KU - IPR Cell)

and

10.2.4. One publication in a refereed national / international journal (indexed in Scopus / Web of Science)

OR

10.2.5. At least one patent licensed for technology development to an industry

and

10.2.6. One publication in proceedings of an international conference

10.3. The viva-voce on synopsis shall be conducted by DC in the presence of all faculty members and research scholars of the department concerned. After satisfactory presentation of the research work reported in the synopsis, DC shall forward six copies of the revised synopsis including the feedback based on the viva-voce to the office of Academic Research along with the panel of examiners (to be made available

confidentially). There shall be three examiners each in three different panels: i) from outside India; ii) from outside Tamil Nadu, Pondicherry and Kerala; and iii) from within Tamil Nadu, Pondicherry and Kerala.

11. SUBMISSION OF THESIS

- 11.1. The thesis has to be checked for similarity using the plagiarism software available with HoD, and the generated report signed by the supervisor and HoD and submitted along with the thesis. The permissible limit of similarity is 25% excluding those reflecting the works of the author of the thesis under consideration.
- 11.2. The thesis shall be prepared in the format prescribed by KITS highlighting the original research work of the candidate leading to the discovery of new facts, methods or techniques or correlation of facts already known (analytical, experimental, etc.), demonstrating a quality as to make a definite contribution to the advancement of knowledge. The candidate's ability to undertake independent research and present the findings in an appropriate manner with actual accomplishments of the work have to be plainly stated and honestly appraised.
- 11.3. The thesis shall be scrutinized by a senior faculty of the department concerned, nominated by HoD who will assess the overall layout, contents and the quality of presentation of the thesis. The deviation, if any, shall be rectified by the scholar in consultation with the supervisor and the same shall be approved by HoD.
- 11.4. Three copies of the thesis shall be prepared and submitted to the office of Academic Research in accordance with the format and style prescribed. Thesis shall be submitted within six months of the approval of the synopsis by DC. Under no circumstances, the submission of thesis can be delayed. However, under extraordinary circumstances, an extension of two months may be permissible with the recommendations of DC.

- 11.5. The thesis shall include a certificate from the concerned supervisor (and joint supervisor/coordinator, if any) to the effect that the thesis is a record of the bonafide research work carried out by the candidate under his/her/their supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a degree or diploma.
- 11.6. Instructions to candidates for submitting synopsis and thesis shall be laid down by the office of Academic Research from time to time and the same shall be followed by the scholars.
- 11.7. Fees shall be paid by the candidates on an annual basis, till the submission of the thesis; the candidate will submit a 'no dues' certificate from all concerned to the office of Academic Research. The office of Academic Research will submit the thesis to the CoE for further processing.

12. THESIS EVALUATION

- 12.1. The thesis shall be referred to two examiners from panel (i) and (ii/iii) (refer section 10.3), as nominated by the Vice-Chancellor, from the names recommended by DC.
- 12.2. The CoE has to ensure that the reports of the examiners are received as early as possible. The examiners are expected to send, in the prescribed format, their reports within two months from the date of receipt of the thesis.
- 12.3. The examiner shall include in his / her report an overall assessment, placing the thesis in one of the following categories:
 - 12.3.1. Recommended for the award of the degree of Doctor of Philosophy: highly commended / commended.

12.3.2. Revision required:

12.3.2.1. Revised thesis to be resubmitted.

12.3.2.2. Revised thesis not to be resubmitted.

12.3.3. Rejected.

12.4. The examiner shall give a report of about 300 words indicating the standard attained in case the recommendation is 12.3.1, the nature of revision in case the recommendation is 12.3.2 and the reasons in case the recommendation is 12.3.3.

12.5. If both the examiners recommend the thesis for the award of the degree, thesis shall be provisionally accepted. Any minor revision, modification etc., suggested by the examiners shall be carried out before the oral examination.

12.6. If both the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar stands cancelled.

12.7. If one examiner recommends the award of the degree, while the other recommends rejection, then the thesis shall be referred to the third examiner as nominated by the Vice- Chancellor from the panel of examiners. If two of three examiners recommended the award, the thesis shall be provisionally accepted. If two of the examiners recommend rejection, the thesis shall be rejected and the registration of the scholar stands cancelled.

12.8. If any examiner recommends revision of the thesis, the candidate shall be permitted only once to revise and resubmit the thesis within 6 months and the revised thesis shall be referred to the same examiner only in the following contexts:

12.8.1. When the examiner recommends new experiments and major modification involving new methodology, and also

12.8.2. The examiner insists on sending the thesis back to him/her after revision for offering his final recommendation which should only be either recommended for the award or rejection.

12.8.3. In case, the examiner does not insist on sending the thesis back to him, the thesis shall be referred to the supervisor to ascertain the corrections carried out in the thesis as suggested by the examiners.

12.8.4. The supervisor shall study the report of the examiners and accordingly send a consolidated report to the CoE. The CoE, based on the approval of Vice-Chancellor, shall constitute an oral examination board, within a period of two months from the receipt of the reports from the supervisor.

12.9. Individual cases, not covered in the above clauses, shall be referred to the Vice-Chancellor. On reasons deemed fit, the Vice-Chancellor shall refer the matter to BRC, which in turn shall refer it to the Board of Management (BoM), if necessary.

13. ORAL EXAMINATION

13.1. The Oral Examination Board shall consist of:

13.1.1. Chairman (to be nominated by the Vice-Chancellor)

13.1.2. Indian Examiner (who evaluated the thesis)

13.1.3. The Supervisor

13.1.4. Joint Supervisor / Coordinator (if any)

13.2. The viva-voce shall be conducted in KITS as “open defence type” examination. The decision of the Board of Oral Examiners shall be final.

14. AWARD OF Ph.D. DEGREE

If the Board constituted for oral examination recommends, the candidate will be awarded Ph.D. degree with the approval of BoM.

15. PUBLICATION OF THESIS

15.1. Papers arising out of the thesis may be published by the candidate.

15.2. The thesis as a whole shall not be published by the candidate without the specific approval of the competent authority.

15.3. The abstract of the thesis will be uploaded on to the internet by CoE.

15.4. The same copy of the thesis in CD ROM duly certified by the Research Supervisor shall also be submitted to the office of Academic Research immediately for depository with UGC and uploading in INFLIBNET.

16. THE ACT OF PLAGIARISM

16.1. In the case of research scholars, who have copied a dissertation / thesis / book for Ph.D. degree, his / her thesis shall be forfeited and his / her research registration shall be terminated in KITS and also he / she shall be debarred to register for any other programme in this institution.

16.2. For the abetment of above mentioned action, the recognition of his / her supervisor shall be withdrawn for a period of 5 years and he / she shall be debarred from guiding the research scholars for any research programme in KITS for 5 years.

17. POWER TO MODIFY

Notwithstanding anything contained in these regulations, BoM reserves the right to modify any of the above said regulations from time to time.