



Regulations governing the Degree of Doctor of Philosophy-2017

Tumkur University Ph.D. Regulations-2017 is in confirmation with the UGC Regulations on *Minimum Standards and Procedures for the Award of M.Phil./PhD Degrees, 2016 notified on 5th May, 2016.*

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 Tumkur University with effect from 2017-18.
- 1.2 These Regulations shall come into force from the date of ascent of the Chancellor of Universities.
- 1.3 The Directorate of Research established in the University under the direct supervision of Registrar shall be responsible in the conduction of Ph.D. Programme from the stage of notification for admission, monitoring the progress and other administrative issues. However, the Registrar (Evaluation) shall be completely responsible for the evaluation and the award of Ph.D. degree to a candidate.

2. DEFINITIONS:

In these Regulations, unless the context otherwise requires

- 2.1 "University" means Tumkur University.
- 2.2 "Degree" means the degree of Doctor of Philosophy [Ph.D.]
- 2.3 "Department" means the Department of Studies and Research of the University/ Departments of the Constituent Colleges/the Recognized Research Center where a candidate intends to work for the degree either as a full time candidate or as a part time candidate.
- 2.4 "Head of the Department" means Chairperson of the Department/Coordinator of the Department of Studies and Research of the University/Head of the Departments of the Constituent Colleges/Director of the Institute/ Coordinator/Director of the Recognized Research Center where a candidate works for the degree.
- 2.5 "Candidate" means any person who fulfills 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 below in the Annexure-I pertaining to foreign students.


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- 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 Tumkur University to guide research work of a candidate who fulfills eligibility as provided in Section - 4.
- 2.10 "Co-guide" means the faculty/scientist/research supervisor recognized by the University who fulfills 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 committee constituted by the University to monitor the progress of the research work of a candidate.
- 2.12 "Board of Examiners" means the panel of examiners constituted by the University for evaluating/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 Chairperson of the Department/Chairperson of the BOS (in case of recognized research centers/disciplines where a PG Department does not exist) : **Chairperson**
- (b) The Chairperson of the Board of Studies/Coordinator of the department: **Member**
- (c) The Guide and Co-guide (if any) of the candidate : **Convener**
- (d) One senior Faculty Member of the concerned department/discipline nominated by the Vice Chancellor : **Member**
- (e) One external subject/discipline expert nominated by the Vice-Chancellor on the advice of the Chairman of the BOS : **Member**

The faculty members to be nominated by the Vice Chancellor are those whose domain of expertise fall in the broad area of the research work and should hold a Ph.D. degree with a track record of successful Ph.D. guidance. The Guide shall be the convener of the Doctoral Committee. Wherever Guide is also the Chairperson of the Department/Chairperson of the Board of Studies, another Senior Faculty Member of the departments/discipline shall be included in the Committee.

In Departments where the number of faculty is two or less than two, members of the Doctoral Committee shall be chosen from sister Departments/Disciplines within the University.

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.


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3.2 The Doctoral Committee shall monitor and assess:

- (a) Pre-registration colloquium as in 6.8,
- (b) Progress reports of a candidate submitted periodically as in Section -7.
- (c) Pre-thesis submission colloquium as in 8.2
- (d) Open viva-voce of the candidate as in 8.6

4. ELIGIBILITY CRITERIA FOR RECOGNITION AS GUIDE:

- 4.1 (a) **Professors** recruited by the University in the Departments of Studies and Research of the University or scientists of equivalent cadre working on regular basis in recognized Research Centers of the University with at *least three publications* as principal author in reputed peer reviewed UGC recognized journals/ book(s) with ISSN number 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 two papers* must be from Science Citation Index journal out of three publications) 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** recruited by the University and working in Department of Studies and Research of the University/ Departments of Constituent Colleges/scientists of equivalent cadre working in the Recognized Research Centers of the University on regular/full-time basis are eligible to be recognized as Ph.D. Guides in a subject/discipline provided they have Ph.D. in that subject/discipline and at *least three research articles* as principal author in reputed peer reviewed UGC recognized journals/book(s) with ISSN number published based on post Ph.D. research theme in the discipline in which they are desirous of guiding candidates and in the discipline of Science at least one paper must be from Science Citation Index journal out of three publications. If the research area is interdisciplinary, persons with Ph.D. in related subjects of the relevant interdisciplinary area and fulfilling the conditions mentioned above can be recognized as guides.
- 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. External guides for the research guidance are not allowed.
- 4.1 (d) Faculty/Scientists desirous of supervising candidates in a particular discipline/ interdisciplinary studies, shall submit an application with detailed curriculum vitae (CV) to the Registrar for recognition as Research guide of the University along


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with evidence of regular services and of publications of research articles in the discipline concerned.

- 4.2 To decide upon **recognition of Guide**, the Registrar shall refer the application with CV and other enclosures including publications to the Chairman, BOS to seek the opinion of the BOS members by calling a meeting or 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 as early as possible. The Registrar shall notify the recognition after the approval by the Vice Chancellor.
- 4.3 Faculty/Scientists who attain **superannuation or resign** their jobs will lose recognition as Guide/ Co-guide. However, such a person should sign a letter that he/ she shall have the responsibility of continuing to guide candidates who were registered under him/ her. In case the research guide/supervisor who quits the institution/University cannot take the responsibility of the ongoing candidate (s) then the head of the research Centre/Chairman of the department/Chairperson of the BOS should make alternate arrangements in the interest of the candidate(s) in consultation with the Vice Chancellor.
- 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 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 shall be governed by the following table

Level of the Guide	Maximum number of candidates	SC/ST/CAT-1 Candidates	OBC Candidates
Professor	08	Minimum of 01	Minimum of 01
Associate Professor	06	Minimum of 01	Minimum of 01
Assistant Professor	04	Minimum of 01	

- 4.5 (b) After fulfilling the reservation weightage as per the above table, the remaining seats shall be allotted as per the omnibus merit list. Within the total number of candidates per guide, special provision shall be made for one foreign candidates/candidate working under sponsored projects over and above the maximum number candidates mentioned in the above table. However, such candidates not necessary to appear for the entrance test conducted by the University and the University shall consider their application as and when their applications are received and such candidate should take up course work in the forthcoming batch.
- 4.5 (c) A Guide/ Co-guide has to sign a declaration about the number of candidates and the category to which they belong working with him/ her at the time of enrollment


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of each candidate. A person shall not co-guide more than four students at a time. 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 from the University to continue guiding these candidates. However the total number shall not exceed as specified in table above at any given point of time.

- 4.5 (d) A Guide/Co-guide who has been recognized to supervise the work in more than one subject, is also governed by the preceding provisions. The total candidates working under any Guide shall be the sum total of all the candidates working under his/her supervision in all the subjects (including from the previous institutions if any). A co-guide shall be any person recognized as a guide by any institution/University/Research Centre/Institution of national importance.
- 4.6 In the Departments wherever infrastructure requirements including chemicals/ equipment's/ instruments are insufficient, the head of the Departments shall decide on the number of candidates without fellowship/ Stipend it can accommodate per faculty member and send this information to the Registrar before notification for admission.

5. ELIGIBILITY CRITERIA FOR A CANDIDATE:

Any candidate who satisfies the following conditions is eligible to seek admission for Ph.D. in a discipline upon application for provisional registration after going through these Regulations and Guidelines for Ph.D. which shall be available for download along with the application form from the University website.

- 5.1 A candidate shall have Master's 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 in the cognate or concerned subject. However, this condition is relaxed to 50% in case of SC/ST/Cat-I candidates.
- 5.2 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.

5.3 The notification for the Ph.D. Programme of the University should be governed by the following:

- 5.3.1. Decide on an annual basis through the advice from the Departments of Studies and Research of the University/Departments of the constituent colleges/recognized research centers a pre-determined and manageable number of Ph.D. scholars to be


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- 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, hostel and such other facilities.
- 5.3.2 Notify well in advance in the University website and through advertisement in at least two reputed newspapers among which one is regional language newspaper, the number of seats for admission discipline/guide/category-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 State-level reservation policy, as applicable from time to time.
- 5.4 **Entrance Test and Interview:** Admission to Ph.D. shall be through an Entrance Test and Interview. Applications for admission to a Ph.D. programme of the University through an Entrance Test shall be invited by the Registrar once a year or as and when a manageable number of vacancies arise.
- 5.4.1 The entrance examination, medium of instruction, course work and submission of thesis can be either in Kannada or English with the exception of other Indian languages.
- 5.4.2 The **Entrance Test** shall consists one paper of 100 marks multiple choice questions with 3 hours duration including 40 Marks on Research Methodology and 60 marks on relevant subject. Syllabus of the paper shall be framed by the respective Boards of Studies based on UGC / CSIR National Eligibility Test (NET) pattern.
- 5.4.3 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 inter /multidisciplinary Board of Studies.
- 5.4.4 A candidate securing at least 50 marks out of 100 (45 marks out of 100 in case of SC/ST/Cat-1 candidates) in the Entrance Test shall be eligible for admission to the Ph.D. programme.
- 5.4.5 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/ BOS of the discipline concerned.
- 5.4.5 The results of the Entrance Test shall be declared by the Registrar (Evaluation) who shall issue the marks card of the Entrance Test. The Marks cards of the candidates who have qualified the examination will serve as the eligibility certificate and shall be valid for one year from the date of declaration of the result on the University website or till the next entrance test is notified.
- 5.5 Candidates who have qualified for fellowships such as UGC/CSIR JRF/SRF fellowships through UGC/CSIR NET Examinations/GATE are exempted from

Entrance test. They can join the Ph.D. program at any time during the year. However, all such candidates have to undergo an Interview along with entrance test qualified candidates in the forthcoming batch.

5.6 The **interview** shall be conducted by the Doctoral Committee for both entrance test qualified candidates and candidates who have qualified for UGC NET/SLET/CSIR JRF /GATE.

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

- The candidate possesses the competence for the proposed research.
- The research work can be suitably undertaken at the Institution/College.
- The proposed area of research can contribute to new/additional knowledge.

5.8 The Chairperson of the Doctoral committee will prepare a **Consolidated Merit List** for both entrance test qualified candidates and candidates who have qualified for UGC NET/SLET/CSIR JRF /GATE. The 50% weightage for the performance of the candidate in the interview and 50% weightage for entrance test marks for entrance test qualified candidates; further 50% weightage for master's degree program for candidates who have qualified for UGC NET/SLET/CSIR-JRF/GATE.

It should be noted that successful completion of entrance test and appearance for an interview will only 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.

5.9 **Guide Allotment Counseling:** Depending upon the vacancy with a guide and considering the total vacancies of the discipline, a list of candidates for enrolment will be prepared by the Chairman of the Doctoral Committee/Chairperson of the BOS in order of the preference for guides as indicated by the candidate during the guide allotment counseling. After, the consent of the candidates and the guide are taken the list will be communicated to the Registrar of the University by the Chairperson of the Department/Chairman of the BOS immediately after the counseling process is completed. The Registrar will then notify the same on the website of the University.

5.10 **Provisional Registration:** Those candidates in the Guide Allotment list shall apply for the Provisional Registration as Doctoral Candidates after payment of stipulated fees to the University. Application forms can be obtained from the concerned Chairperson of the Department and submit the same after the consent of the guide and forwarded through the Chairperson of the Department/Coordinator of the department/research center to Directorate of Research of the University. The guide should also submit a declaration about the vacancy available as per regulations 4.5 (a, b, c and d). Registrar will notify the same by issuing the provisional registration/Enrollment (the date of provisional registration shall be from the date of beginning of the coursework) and monitor the details that regulations are adhered to in letter and spirit.


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6. REGULAR REGISTRATION:

6.1 All provisionally registered candidates shall undergo **Course-Work** for not less than six months. The University shall notify the time table and details of the course work including the schedule upon advice from the various departments. The performance of the candidate shall be assessed in continuous mode. The continuous assessment during learning period will be for 25% and the course end assessment at the end of the course will be for 75%.

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

Sl No	Course title	Instruction Hrs. per Week	No. of Credits	Type of the Evaluation	Marks for Internal Assessment	Marks for Course work Exam	Total Marks
1	Research Methodology	05	05	Theory Exam 03 hrs	25	75	100
2	Specialization Paper(s)	05	05	Theory Exam 03 hrs	25	75	100

6.2 **Syllabus** for the Research Methodology and specialization paper is to be prepared and approved by the discipline-wise BOS. The BOS can decide upon the number of specialization papers for individual department. The prepared syllabus shall be approved by the concerned authorities.

6.3 The method of instruction for the Research Methodology and specialization papers can be based on class room teaching by the faculty of the Department/seminars/special lectures or any other form as mandated by the discipline specific BOS. The workload borne by the faculty for teaching this course should be counted as official workload of the faculty as per the existing UGC regulations. A quantum of fees decided by the University is collected towards conducting course-work can be re-imbursed to the Departments/research centers in order to arrange lectures and seminars or other events mandated by the BOS for the benefit of the candidates.

6.4 **Continuous Internal Assessment** for Research methodology and specialization papers should include Attendance – 5%, Presentation – 5%, Assignment on Review of Literature- 5% and Internal Tests – 10% as decided by the discipline-wise BOS. The Internal assessment marks obtained by the individual candidates shall be communicated to the Registrar (evaluation) at the end of the course-work by the Chairperson of the Department/research center where the course work is being conducted. The attendance for the course should be maintained by the Chairman of the Department/coordinator of the department/head of the recognized research center.

- 6.5 The Chairman of the Department/Coordinator of the department/head of the research center acts as the coordinator for conducting the Course work. 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.
- 6.6 (i) The Registrar (Evaluation) through the discipline-wise Ph.D. BOE shall arrange to get the question paper set, shall notify the date of course work examination and shall get the scripts evaluated for both Research Methodology and Specialization papers from one internal and one external examiner of the approved board. The paper setters shall have a track record of successful Ph.D. guidance.
- (ii) A Candidate has to secure a minimum of 50% marks (including the internal assessment) in both the courses for qualifying the course-work examination.
- 6.7. (i) Candidates who are unsuccessful, but have fulfilled the attendance requirement, shall be permitted to avail makeup assessment period of a maximum of **8 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. A Candidate whose registration is cancelled and if they are keen on pursuing researches then he/she has to reappear for entrance test.
- (iii) All successful candidates receive a marks card (course completion certificate), containing the titles of the course and marks/ grades scored which will be awarded according to the existing the PG CBCS regulations of the University.

6.8 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, prepare a research proposal and **submit five copies of the Ph.D. research proposal** to the Department/research center through the guide within one month from the announcement of results of the course work. The department shall organize the meeting of the doctoral committee for all the candidates in consultation with the chairman *within fifteen* days 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 presenting 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* from 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.**
- 6.9 The Chairperson of the Doctoral committee shall inform the decision of the Pre-registration Colloquium to the Directorate of Research. Based on the recommendations of the Doctoral Committee, the candidate is **permitted to apply for Registration.**
- 6.10 **Ph.D. Registration:** Application for Registration with prescribed fees shall be submitted to the Directorate of Research along with 10 copies of the Synopsis through the Guide, Co-guide, if any and the Chairperson/Coordinator of the Department, after successful completion of the Pre-registration Colloquium.
- 6.11 Candidates are eligible to apply for Registration **within six months** from the date of successful completion of the Ph.D. Course work. If any candidate fails to apply for Registration within six months from the date of successful completion of the Course Work, he/she forfeit his/her claim for Registration. Such a candidate has to re-apply for admission and go through the Entrance Test afresh.
- 6.12 (a) The Directorate of Research has to forward the application for Ph.D. Registration to the Chairperson of the concerned BOS.
- (b) The Chairperson of BOS shall arrange a meeting to obtain the Recommendations of the members in writing **within one month** from the date of receipt of application from the Directorate of Research, consolidate the decision of the Board and inform the same to the Directorate of Research.
 - (c) The Directorate of Research upon receiving the recommendations from the BOS shall verify and obtain approval from the Registrar.
 - (d) The Registrar 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.


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- (e) In case the Board of Studies suggests changes in the Ph.D. Synopsis, the Directorate of Research shall inform the candidate about such recommendation and ask the candidate to submit the Synopsis afresh by **repeating a Pre-registration Colloquium as in 6.9.**

6.13 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 (for full-time candidates) and four years (for part-time candidates) including course work and a maximum of six years. The date of conversion from part-time to full-time shall be as recommended by Doctoral Committee (either by availing a fellowship/working in a project) on full-time basis as evidenced by the attendance maintained in the department and approval of the Doctoral committee/BOS. Only candidates who have obtained a fellowship from the University, government of India/Karnataka or who have secured UGC-CSIR JRF/SRF or working in a sponsored project of the guide or have secured fellowship from any other sources for their Ph.D. programme are eligible for full-time Ph.D. Other candidates who wish to pursue Ph.D. on full-time basis shall request the University. The University shall in turn seek the opinion of the BOS and intimate the same to the candidate after the approval of the Vice Chancellor. Attendance of the full-time research scholars shall be maintained by the department. A full-time candidate may also be permitted to work on part-time basis, but the date of registration shall be same as that of the provisional registration.
- (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.

6.14 Foreign national candidates have to comply with regulations mentioned in Annexure -I separately.

7. PROGRESS OF RESEARCH WORK:

7.1 After Registration, a candidate is required to submit the following to the Registrar through the Guide and the Head of the Department.


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- a) Progress Report of Research Work done by the candidate along with the recommendation of the guide on the status of the progress and also his/her conduct once in six months.
- b) Prescribed tuition and laboratory fees shall be paid once a year and challan to accompany the progress report of that particular year.
- c) The candidate shall appear before the doctoral committee once in a year which will be organized by the guide in consultation with the Chairman of the doctoral committee to make a presentation of the progress of his/her work for evaluation and further guidance. After, the meeting of the doctoral committee, the six month progress reports shall be submitted by the Chairman of the doctoral committee to the University. The University shall communicate to the candidate at the end of every six months of the Ph.D. programme the status of his/her progress.

7.2 **Failure to submit two Consecutive Research Progress Reports shall entail cancellation of the Registration.** The guide after informing the candidate, has to seek the approval of the Doctoral Committee for cancellation of registration of such candidate and this shall be notified by the Registrar.

7.3 The candidate shall publish at least *two research articles* in a UGC approved journal as main author based on his/ her Research Work and should *present two papers* in a National conference/seminar/workshop as the first and presenting author 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 one journal paper attested by the guide.

8. SUBMISSION OF THE THESIS AND EVALUATION:

8.1 The candidate is eligible to submit his/ her Thesis only after completing 4 years (part-time) and 3 years (full-time) of Research Work from the date of his/her Registration, i.e., from the date of provisional registration.

8.2 Pre-thesis Submission Colloquium:

- a) The candidate can submit the final synopsis only after receiving a communication from the University in this regard. A candidate shall submit 5 copies of the final synopsis of his/her Ph.D. thesis highlighting contents of the Thesis and enclosing evidences of two research publications in peer reviewed journal/s and presentation of at least of two papers in a National conference/seminar/workshop as the first and presenting author to the University.
- b) The Chairperson of the Doctoral Committee shall organize the **Pre-thesis Submission Colloquium** meeting in the concerned Department/discipline in consultation with the guide within fifteen days of the receipt of communication from the University. The colloquium shall also be open to all faculty members and


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other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Doctoral Committee.

- c) The Doctoral Committee shall advise and offer suggestions to the candidate for the finalization of the Thesis.
- d) The Chairperson of the Doctoral Committee shall inform the decision of the Pre-thesis Submission Colloquium to the Registrar of the University within **a week**.
- e) 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** and the Chairman of the doctoral committee has to communicate the same to the University.

8.2 Submission of Ph.D. Thesis:

8.2.1 Mandatory plagiarism check.

After, the final synopsis has been accepted by the University the thesis has to undergo a mandatory plagiarism check. The candidate will have to submit his thesis for plagiarism check within six months from the receipt of communication from the University about the results of the pre-thesis submission colloquium. If the candidate fails to submit his/her thesis for plagiarism before six months he/she will have to reappear before the doctoral committee for pre-thesis colloquium and obtain permission afresh. The procedure for plagiarism check shall be as outlined below.

- (a) Soft copy of the doctoral theses (preferably in CD-ROM/ DVD) covering all the chapters including bibliography/references has to be submitted in a single MS-word or PDF file, excluding preliminary pages: declaration, acknowledgement, abstract, list of charts and abbreviations, table of contents etc. and succeeding pages: glossary, index, questionnaire etc. to the University Librarian/Deputy Librarian. The candidate has to enclose the permission for checking plagiarism in his communication received from the University to the University Librarian/Deputy Librarian.
- (b) The University library through the Shodhganga Project and INFLIBNET will provide the anti-plagiarism software. The use of particular anti-plagiarism software can change from time-to-time depending on the choice offered by UGC INFLIBNET.
- (c) The limit for plagiarism or percentage of similarity allowed is up-to 25% of similarity index for doctoral thesis. 5% additional similarity shall be allowed for own content from publications provided the guide and the candidate providing a certificate of publication and on provision of the original article.


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- (d) The full report of the plagiarism check shall be submitted by the University Librarian/Deputy Librarian to the University along with a copy to the concerned candidate and the guide.
- (e) In case the percentage of similar content detected is beyond 30 percent, then the said candidate and the guide have to revise and resubmit the theses for plagiarism checking. It is the responsibility on the part of the candidate and the Guide to go through the identified similar content (plagiarized) and take appropriate measures to ensure originality of the research output. A fee prescribed the University will be charged if the thesis is re-submitted a second time for plagiarism check and the fee will increase with every subsequent resubmission. This is allowed for a maximum of three attempts.
- (f) Once the candidate receives a communication from the University about the results of the plagiarism check and permission to submit his/her thesis he/she can do so.
- (g) For the candidates who are registered under the vernacular language Ph.D. Programme and for those candidates who are submitting their Thesis in languages other than English, Plagiarism Check is not mandatory as language specific plagiarism detection software is not available. However, once such a software for regional languages like Kannada/Sanskrit/ Urdu/ Hindi/ any other become available all the above mentioned provisions will come into effect. In the interim the guide and the candidate have to jointly certify that content of the thesis has not been plagiarized.

8.2.2 (a) **Once the mandatory plagiarism check is successfully over**, a candidate shall submit **5 copies of Ph.D. Thesis** along with five copies of the final synopsis and an electronic version of the Synopsis and Thesis in .PDF format (3 CDs) for the evaluation, **within six months** from the date of receipt of communication from the university about the results of plagiarism check to the Registrar. The thesis forwarded by the guide and the head of the department/center has to be accompanied with a NOC from the guide/department/center and the University Library/hostel etc. Failure to submit the Thesis within this period shall entail cancellation of the Ph.D. Registration of the candidate. A candidate has to include the results of plagiarism test conducted on the thesis. Once the candidate has submitted the thesis the candidate is eligible to obtain a **thesis submission certificate** from the Registrar (Evaluation) upon payment of a prescribed fee.

- (b) A certificate duly signed by the Guide and Co-guide, if any, to the effect that the candidate has produced as main 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.


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- (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 Chairperson 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 shall notify the same. Such a candidate has to begin the admission process of writing entrance examination if he/she desires to work again.

8.2.3 GUIDELINES FOR PREPARING THESIS:

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

- An Abstract 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.
- **The electronic version** of thesis is to be submitted in CD in PDF form. A Candidate should keep a copy with him/her. The Certificates and the declaration should be in format provided by the University.
- **Paper:** 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 single side 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 blinding 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.

8.3 Evaluation of the Ph.D. Thesis:

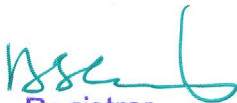
Once the candidate has submitted the thesis following the procedure, the same will be transferred to the Registrar (Evaluation) from the directorate of research who will arrange for the evaluation:

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), the Chairperson of the concerned Board of Studies shall submit to the Registrar (Evaluation) a Panel of a minimum of ten (five from within the Karnataka and five from outside the Karnataka state) examiners drawn from different Universities, Research Institutions/ Laboratories. If a candidate submits his/her thesis in Kannada language, such thesis may be evaluated by the two external examiners within Karnataka. In such cases, the panel examiners may consist of all the ten examiners within Karnataka.
- 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 in a meeting or by circulation before sending the Panel to the Registrar (Evaluation). The panel of examiners shall be senior faculty/scientists and proven track record of successful Ph.D. guidance with at least ten years of research experience. This process has to be completed by the Chairperson of the concerned BOS **within two weeks** of receipt of communication from the Registrar (Evaluation).
- d) 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.
- e) 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.
- f) 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 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 Pdf document**.


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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 the Ph.D. Registration will be cancelled by the Registrar.
- (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 the Ph.D. Registration will be cancelled by the Registrar.
- (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 Chairperson 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. After ratification, the **Revised Thesis** and payment of the prescribed fees, the thesis will be evaluated following the same procedure as above.
- (e) If both External Examiners recommend acceptance of the Thesis the registrar evaluation will communicate the same to the guide along with:
 - i. The original Evaluation Reports of the two External Examiners along with the Evaluation Report of the Internal Examiner (Guide).
 - ii. 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 of the external examiner after seeking the approval of the University to invite the external examiner, 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


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shall also be submitted (3 CDs). The guide has to ensure 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 8.6a 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
- (f) The language in which the thesis is written prior to the actual award of the degree.

8.8 The University shall issue a **provisional Ph.D. Degree award Certificate** to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016. 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 Regulation- 2017 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 INFLIBNET, 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.


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- (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 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 shall seek the opinion of the BOS for the change of title. Such a change can be permitted any time before the Pre-thesis Submission Colloquium and all the progress reports have to be re-submitted according to the new title and the candidate has to appear before the doctoral committee again.
- (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 shall refer the matter to a BOS of the concerned subject whose decision has to be placed before the Vice Chancellor for final decision.

10. 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.

11. OUTSTANDING ISSUES:

Any issue not covered by the foregoing shall be governed by the decision of the Vice-Chancellor and such decision shall be binding on all parties concerned.

12. REPEAL AND SAVINGS:

- 12.1 Notwithstanding anything contained in these Regulations, the Provisions of any Guidelines, Order, Rule or Regulations in force shall be inapplicable to the extent of their inconsistency with these Regulations.
- 12.2 The University shall issue such orders, instructions, etc., and prescribe such format, procedure, etc., as it may deem fit to implement the Provisions of these Regulations.


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CHANCELLOR

Annexure –I: Pertaining to Foreign Students

A1: Definition of a Foreign/International Candidate: “Foreign Candidate”/“International student” means any person who holds a passport issued by a country other than India.

A2: Eligibility: The Foreign/International candidates who have obtained their qualifying degrees 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 and has to be obtained separately. The candidates have to obtain the eligibility certificate before the start of the course work and those candidates who are successful in the examination but do not hold a eligibility certificate will not be provided provisional registration.

A3: Research Visa: All Foreign/International candidates have to obtain a valid Research Visa for pursuing research. Foreign nationals with Student Visa, Tourist Visitor or any other form of Visa cannot carry on Research in the University. 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. Only those foreign nationals who have a valid Residential Permit Can seek NOC from the International office of the University. Permanent registration shall be given only on submission of Research Visa and NOC from the International office of the University.

A4: Letter of Permission to Seek Research Visa: Prior to seeking permanent registration in the Tumkur University, permission to seek research visa must be submitted to the Registrar 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 for issuance of Letter of Permission to seek Research Visa. After obtaining the letter of permission from the Registrar, a foreign national has to submit to the Ministry of Home Affairs, Government of India, eight sets of applications duly signed by the Registrar, for submission to the Indian Diplomatic Mission for consideration of issuance of Research Visa.


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