

**Regulations Governing the Ph.D. Programme  
of  
PES University - 2018**

**PES University**  
**(Established under Karnataka Act No.16, 2013)**  
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**PREAMBLE:**

PES University shall offer Ph.D. (Doctor of Philosophy) programme in various Faculties of study designed to provide candidates an opportunity to obtain advanced expertise in the chosen field of interest. The main components of the research programmes include a combination of specialized courses and intensive research under the supervision of one or more experienced researchers. The objective of the research programmes is to nurture highly qualified researchers who are able to extend / create knowledge and innovate.

**Short title, extent  
and commencement**            1

- i These regulations shall be called “Regulations Governing the Ph.D. Programme of PES University - 2019”;
- ii They shall come into force from the date of their approval by the Executive Council;
- iii These Regulations shall be read in conjunction with the Act, Statutes, Academic Regulations and other notifications of the University;
- iv These Regulations shall be applicable to the students admitted to the Ph.D. programme of PES University from the academic year 2018-19 onwards. However, students, who are on the rolls of PES Institute of Technology and other PES Institutes located within the Campus before the establishment of the University, shall continue to be governed by the erstwhile regulations of the respective PES Institutes and the affiliating universities.

**Definitions**                            2

- In these Regulations, unless the context otherwise requires:
- i “Act” means The PES University Act, 2012 (Karnataka Act No. 16 of 2013);
  - ii “Board of Governors”, “Executive Council”, “Academic Council”, and “Finance Council”, means respectively the Board of Governors, Executive Council, Academic Council, and Finance Council, of the University;
  - iii “Campus” means a campus established and maintained by the University;
  - iv “CGPA”, “SGPA” means respectively Cumulative Grade Point Average and Semester Grade Point Average;
  - v “Chancellor”, “Vice-Chancellor”, “Registrar”, “Controller of Examinations”, “Dean”, and “Departmental Chairperson” mean respectively the Chancellor, Vice-Chancellor, Registrar, Controller of Examinations, Dean, and Departmental Chairperson of the University;
  - vi “Committees” means the committees formed by the various authorities and officers of the University;

- vii “Convocation” means the convocation of the University, where Degrees, honorary Degrees, Diplomas, Academic Distinctions, and Certificates are awarded as per requirements of the University;
- viii “Course” means one of the units (subject) which comprises a Programme of study;
- ix “Credit” means credit earned by a student after a successful completion of a credited course;
- x “Degree” means a degree awarded by the University;
- xi “Examination Hall” means both the hall where theory examinations are conducted or the laboratory or workshop where practical examinations are conducted;
- xii “Government” means the Government of Karnataka;
- xiii "Notification" means the notification of the University;
- xiv “Prescribed” means prescribed by the rules made by the University under the Act, Statutes, Regulations, and Notifications;
- xv “Programme” or “Programme of study” means a higher education programme pursued for a degree awarded by the University as specified under Section-22(3) of the UGC Act;
- xvi “Regulations” means the Regulations of the University, notified by the Executive Council;
- xvii “Statutes” means the Statutes of PES University, notified by the Board of Governors;
- xvii “Student” means a person admitted to and pursuing a specified Programme of study in the University;
- xix “Teacher”, “Course Instructor” means respectively a faculty appointed for imparting instruction and research guidance to students in the University and the Teacher instructing a course;
- xx “University” means the PES University, Bangalore, established and incorporated under the PES University Act, 2012.

**Nomenclature and Duration**

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3.1

**Nomenclature:** The degree shall be called the Doctor of Philosophy (Ph.D.) and the degree certificate, in the prescribed format, shall indicate only the title of thesis.

3.2

**Duration of the Ph.D. Programme:** The Programme shall be for a minimum duration of THREE academic years and a maximum duration of SIX academic years. The duration of the programme shall be considered

from the date of admission, until the date of submission of thesis. However, an extension of not exceeding TWO years may be granted by the Controller of Examinations, on the recommendation of Doctoral Committee and the approval of the Vice-Chancellor, in blocks of SIX months at a time. The candidates shall pay the prescribed fees during the period of extension.

3.3 Medium of instruction and the language of the thesis shall be English, except in those faculties of study where other languages are permitted by the Academic Council.

**Formation and Functions of Committees**

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The University shall have the following Committees for the Ph.D. Programme:

- i Research Admissions Committee;
- ii Doctoral Committee; and
- iii Thesis Viva Voce Committee.

4.1 4.1.1 Research Admissions Committees shall be constituted by the Vice Chancellor for each Faculty of Study consisting of:

1. Dean of Research or his/her nominee - Chairperson
2. Dean of concerned Faculty - Member
3. Nominee of the Executive Council - Member
4. Nominee of the Academic Council - Member
5. Registrar - Member Secretary

4.1.2 In the case of non-availability of the Dean of Faculty, the Vice Chancellor may nominate one among the other Deans or a senior faculty to the Research Admissions Committee for that Faculty of study.

4.1.3 The Research Admissions Committee shall be responsible for the notification of intake, getting the entrance test(s) conducted, the merit list(s) prepared, interview(s) for candidates organized, the reservation policy followed and such other tasks connected with the admission of the candidates for the Ph.D Programme.

4.1.4 The tenure of the Committee shall be TWO years and the constitution of the Committee shall be aligned with the academic year of the University. The Committee shall meet as often as required.

- 4.2 4.2.1 Doctoral Committee: A Doctoral Committee shall be constituted for each candidate by the Dean of Research with the approval of the Vice-Chancellor, based on the recommendation of the Research Supervisor and Research Co-Supervisor, if any. The composition of the Doctoral Committee for each candidate shall be:
1. Dean of Research or his/her nominee - Chairperson
  2. Research Supervisor - Member Secretary
  3. Research Co-Supervisor, if any - Member
  4. ONE Teacher, with Ph.D. qualification, from the concerned Faculty of Study nominated by the Dean of Faculty - Member
  5. ONE Teacher, with Ph.D. qualification, from outside the field of study - Member
  6. TWO members, with Ph.D. qualification, from outside the University, preferably from reputed institutions of higher learning / industry / research organization - Members (Optional)
- 4.2.2 The Doctoral Committee for each candidate shall be set up with members from the University within ONE month of the date of admission of the candidate.
- 4.2.3 At least one member from outside the University shall be added to complete the Committee any time within ONE year of the date of admission.
- 4.2.4 If the Dean of Research or his/her nominee is not available for a meeting of the Doctoral Committee, the Research Supervisor shall chair the meeting.
- 4.2.5 The Doctoral Committee shall meet at least once in SIX months.
- 4.2.6 The constitution and proceedings of the meetings of the Doctoral Committee for each candidate shall be forwarded to the Controller of Examinations and the Dean of Research by the Research Supervisor. The Doctoral Committee shall be responsible for reviewing and monitoring the research progress of the candidate from the date of its constitution till submission of the Thesis.
- 4.2.7 Any request for the change of Doctoral Committee by a candidate shall be submitted in writing to the Dean of Research, with necessary supporting documents, which may be approved by the Vice Chancellor. The reconstituted Doctoral Committee shall be as per these regulations.
- 4.3 Thesis Viva Voce Committee: The Thesis Viva Voce Committee, for each candidate, shall consist of Doctoral Committee members, Dean of Research,

atleast one external examiner who has reviewed the thesis and the Controller of Examinations. The Committee shall conduct the thesis Open Viva Voce for the candidate in connection with the defense of the thesis, prepare a consolidated report certifying the satisfactory completion or otherwise in the prescribed format for the consideration of the Academic Council.

**Classification of Candidates and Requirements**

5

5.1

**Classification:**

(a) Internal Part-Time: Candidates working at PES University, pursuing Ph.D. while discharging normal duties;

(b) External Part-Time: Candidates working at organizations recognized by the University for the purpose, pursuing Ph.D. while discharging normal duties at their organization;

(c) Full-Time: Candidates pursuing Ph.D. on a full-time basis at the University;

(d) Others: Candidates belonging to NRI / PIO / Foreign Nationals (FN) categories shall have passed the UG and PG degree programmes (approved by GOI) and have proficiency in English language.

5.2

5.2.1

**Study leave / Employment / Clearances:** Candidates having employment, who take up Ph.D. programme on a full-time or part-time basis, shall produce a certificate from their employer(s) / organization(s) for having sanctioned study leave for a minimum period of THREE years, along with the "No Objection Certificate (NOC)".

5.2.2

Candidates not having employment, who take up Ph.D. Programme on a full-time basis, are required to submit an undertaking to the effect that they shall not take up any employment during the period of Ph.D. registration, except availing of research assistantships / scholarships / fellowships / stipends, if any.

5.2.3

NRI / PIO / Foreign nationals shall hold valid passport/visa, clearance from the agencies as mandated by the GOI.

**Eligibility for Admission**

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6.1

**Minimum Qualifications:** The minimum academic qualifications to be satisfied by the candidates seeking admission to the Ph.D. Programme shall be:

6.1.1

A post-graduate degree and under-graduate degree in a related field of study from a recognized university, with a minimum of 60% aggregate marks (or equivalent grade point average) at both UG and PG levels.

6.1.2

The eligibility to admissions shall be a post graduate Master's degree from a UGC recognized university; there is no provision for direct admission for candidates with only an undergraduate degree.

6.1.3 Candidates who have pursued master's degree which is UGC approved program as well as UGC approved university shall be eligible for admission to the Ph.D. programme.

6.1.4 Candidates who have appeared and are awaiting their final semester post-graduate results are eligible to apply for admission subject to fulfillment of other admission requirements.

6.2 **Relaxation of Minimum Requirements:** A candidate belonging to SC / ST / Category-I / Physically challenged and any other reserved category as notified by GOK from time to time shall have:

A post-graduate degree and under-graduate degree in a related field of study from a recognized university, with a minimum of 50% aggregate marks (or equivalent grade point average) at both UG and PG levels.

Admission Procedure 7

7.1 Admissions for the Ph.D. programme shall be open round the year with the processing of applications being carried out atleast once in six months by the Research Admissions Committee.

7.2 A candidate shall submit an application to the Research Admissions Committee in the prescribed format, with:

(a) relevant supporting documents (degree certificates, marks cards, etc.);

(b) THREE letters of recommendations (with at least one each from the faculty of the undergraduate and post-graduate institutions where the candidate studied);

(c) a Statement of Purpose; and

(d) proof of payment of the prescribed fee.

Candidates with a PESSAT / GRE / GATE / CAT / UGC / CSIR-NET/ NBHM score or equivalent may be given preference.

7.3 The Research Admissions Committee shall decide on the suitability of a candidate considering the eligibility criteria, performance in entrance test, if any, and the documents submitted by the candidate and prepare a merit list. According to the merit list, the Research Admissions Committee shall conduct an interview in person for each candidate before offering the provisional admission, taking into account the performance in the interview, choice of the Faculty of Study indicated by the candidate and the availability of Research Supervisors. The decision of the Admission Committee shall be final and binding.



- 7.4 The Research Admissions Committee shall arrange for interaction between the candidates selected for provisional Ph.D. registration and the possible Research Supervisor(s). The committee shall identify and allot a Research Supervisor and Research Co-Supervisor, if any, to each selected candidate with mutual concurrence.
- 7.5 The selected candidates shall provisionally be admitted to the Ph.D. programme, after he/she pays the prescribed fees and fulfills all the admission requirements as indicated in the letter of admission.
- 7.6 If, at any time after the admission, it is found that a candidate has not fulfilled all the requirements stipulated in the letter of admission, the Research Admissions Committee may revoke the admission of the candidate with the approval of the Vice Chancellor.
- Transfer / Migration of Candidates**      8      8.1      Transfer / Migration from a Ph.D. programme of other recognized universities / institutions shall be possible only for an eligible student, as specified by the Research Admissions Committee. The Research Admissions Committee shall establish the equivalency of the credits that is eligible to be transferred from the existing university. For such transfer/migration, only the credits for the coursework shall be transferable. Further, such a candidate shall submit a "No Objection Certificate" from the previous university / Research Centre.
- 8.2      Transfer / Migration of a candidate to a Ph.D. programme of the University shall be permitted only if there is availability and concurrence of Research Supervisors in the concerned Faculty of Study. Such candidates are required to successfully complete the Proposal Defense.
- 8.3      Any candidate interested in transferring out or discontinuing the Ph.D. programme of the University, before the completion of duration, shall be liable to pay the balance tuition fee for the remaining minimum period of the programme. After fulfilling these requirements, the Registrar shall make arrangements to issue a "No Objection Certificate" to such a candidate on the recommendation of the Controller of Examinations and with the approval of the Vice-Chancellor.
- Recognition, Functioning and Change of Research Supervisor**      9      9.1      **Eligibility for recognition as Research Supervisor:**  
Any regular Professor of the University with atleast five research publications in refereed journals and any regular Associate / Assitant Professor of the university with a Ph.D. degree and atleast two research publications in refereed journals may be recognized as Research Supervisor.

Provided that in areas / disciplines where there is no

or only a limited number of refereed journals, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

**9.2 9.2.1 Procedure for Recognition:**

Only a Full time regular teacher of the University can act as a supervisor.  
However, Co-Supervisor can be allowed from other UGC recognized reputed University/Institutions or reputed industry with approval of the Doctoral Committee

The list of selected Research Supervisors shall be notified by the University after their consideration by the Rresearch Council and approval by the Executive Council.

**9.2.2** Acceptance for supervision of Ph.D. / M.Tech by Research / MPhil students at other Universities by Research Supervisor or Co-Supervisor who are Teachers of the University shall be with the written permission of the Dean of Research.

**9.2.3** In the absence of supervision of at least one Ph.D./M.Tech by Research/M.Phil. candidate in the preceding five years, the recognition given to a Research Supervisor shall stand automatically cancelled. However, such persons shall be eligible to seek fresh recognition from the University.

**9.3 Number of Candidates per Research Supervisor:**

The following norms / procedure shall be strictly adhered to while assigning the Research Supervisors to the candidates admitted to a Research programme.

(a) A Reserch Supervisor/Co-Supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Tech By Research / M.Phil and eight (8) Ph.D. scholars.

(b) An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Tech by Research / M.Phil and six (6) Ph.D. scholars.

(c) An Assistanr Professor as Rsearch Supervisor can guide upto a maximum of one (1) M.Tech by Research / M.Phil and four (4) Ph.D. scholars.

The students who have completed the thesis defense shall not be considered while counting the number of candidates assigned to a Research Supervisor.

**9.4 Functioning of a Research Supervisor/ Research Co-Supervisor:** A Research Supervisor / Research Co-Supervisor shall be the key person in the Ph.D. degree programme of his/her candidate. The Research

Supervisor shall be responsible for providing help, support and mentoring in order to enable the candidate to complete the proposed research work and produce a thesis to the best of the candidate's ability. The principal role of the Research Supervisor is to help candidates achieve their scholastic potential and to conduct Doctoral Committee as well as thesis Viva Voce Committee meetings. The Research Supervisor shall interact with the candidate ensuring reasonable commitment, accessibility, professionalism, guidance and consistent encouragement. The Research Supervisor shall be available to help the candidates at every stage, from formulation of their research problems through establishing methodologies and discussing results, to submission of thesis that meets the standards of the University and the academic discipline.

**9.5 9.5.1 Change of Research Supervisor/ Research Co-Supervisor:** The request by a candidate for change of Research Supervisor and/or Co-Supervisor shall be permitted by the University under exceptional circumstances on the endorsement / recommendation by the Doctoral Committee.

**9.5.2** In the cases like transfer, retirement or resignation of the Research Supervisor/Co-Supervisor before the candidate's submission of the Thesis, the Vice Chancellor may permit the candidate to continue to work under the same Research Supervisor/Co-Supervisor or in exceptional cases, permit an alternative arrangement with the consent of the Doctoral Committee.

**Handling of Conflict 10**

In the case of any conflict between the Research Supervisor and/or Research Co-Supervisor and the candidate, the Dean of Research, on receipt of request letter from either of the parties or both, shall refer the matter to the Vice-Chancellor. The Vice-Chancellor shall constitute a Conflict Handling Committee to examine the case and submit its report. The decision of the Vice-Chancellor shall be final and binding.

**Structure of the Ph.D. Programme 11**

A candidate provisionally admitted to the Ph.D. programme of the University shall undergo the following stages:

- i) Prescribed coursework;
- ii) Comprehensive examination
- iii) Proposal defense;
- iv) Open seminar;
- v) Publication of research papers as prescribed;
- vi) Pre-synopsis open seminar
- vii) Submission of synopsis, in the prescribed format;
- viii) Submission of Thesis in the prescribed format;
- ix) Evaluation of the Thesis;
- x) Submission of the revised Thesis, incorporating the modifications/corrections as suggested by the

reviewers, if any.

xi) Viva voce for the Thesis defense; and

xii) Award of Provisional Degree Certificate and award of Degree Certificate.

<b>Comprehensive Examination</b>	<b>12</b>	<b>12.1</b>	A candidate shall successfully complete Comprehensive examination conducted by the Faculty of Study, within 18 months from the date of provisional admission. The syllabus for the comprehensive examination shall be from the course work approved by the Doctoral Committee. The comprehensive examination may have either or both written and viva-voce components. The passing standards for the comprehensive examinations shall be as prescribed by the Academic Council. A maximum of TWO attempts shall be given for a candidate to successfully complete the comprehensive examination.
		<b>12.2</b>	If a candidate does not successfully complete the comprehensive examination even after two attempts, the provisional registration of the candidate shall stand annulled. However, such a candidate may reapply to a Ph.D. programme offered by a different faculty of study by restarting the application process.
<b>Coursework</b>	<b>13</b>	<b>13.1</b>	<b>Coursework for candidates with PG qualification:</b> A candidate with PG qualification shall register for THREE courses having not less than FOUR credits each prescribed by the Doctoral Committee and successfully complete those courses, in addition to the mandatory courses of FOUR credit on Research Methodology and Technical Communication.
		<b>13.2</b>	<b>Mode of Coursework:</b> (a) The prescribed courses shall be of the PG level offered by the concerned Faculty of Study, and preferably related to the area of research.  (b) In the event of University not offering the relevant Masters degree courses, the syllabi for such courses shall be framed by the Research Supervisor in consultation with the Doctoral Committee, which shall be approved by the Board of Studies and Academic Council. Such courses shall be deemed to be guided self-study courses.  (c) The Controller of Examinations shall make necessary arrangements to conduct the examinations for the coursework, associated evaluation and announcement of results.  (d) In case of inter-disciplinary research, a candidate from one programme of study may take PG level courses offered from another programme of study with the approval of Doctoral Committee.
		<b>13.4</b>	<b>Passing Standards for Coursework</b> - (a) For successful completion of the Coursework, a candidate shall obtain

a minimum of "C" grade in each Course. The grading for the Ph.D. coursework shall be done separately and as follows:

- 90-100 Marks : S Grade (Outstanding)
- 80-89 Marks : A Grade (Excellent)
- 70-79 Marks : B Grade (Good)
- 60-69 Marks : C Grade (Satisfactory)
- < 60 Marks : F Grade (Fail)

The University shall have the provision to issue Grade Card(s) to the candidates for the Coursework.

<b>Confirmation of Ph.D. Registration</b>	<b>14</b>	<b>14.1</b>	The registration of a Ph.D. candidate shall be confirmed by the Controller of Examinations only upon the successful completion of the comprehensive examination and the coursework.
		<b>14.2</b>	A candidate shall register with the University every semester by paying the prescribed fees, until the submission of the thesis.
		<b>14.3</b>	It is the responsibility of the candidate to regularly update his/her Doctoral Committee regarding the progress of research work. This shall be suitably recorded and documented and shall be sent to the Dean of Research and the Controller of Examinations at the end of each academic semester.
<b>Title Defense</b>	<b>15</b>	<b>15.1</b>	A candidate shall defend the proposed thesis work within TWO years from the date of admission. A written report stating the problem statement, literature survey and proposed plan of work shall be submitted by the candidate to the Doctoral Committee prior to the proposal defense. During the proposal defense, the proposed research work shall be presented for approval by the Doctoral Committee. If approved, the proposal shall be communicated to the Controller of Examinations by the Doctoral Committee.
		<b>15.2</b>	If a candidate fails to successfully defend the proposal, he/she shall be granted one more opportunity for the proposal defense within a period of SIX months from the date of first unsuccessful defense. If the candidate fails to defend the proposal during the second attempt also, his/her registration for the Ph.D. shall stand annulled. Such a candidate may re-apply for admission to a different Faculty of Study.
		<b>15.3</b>	If a candidate, intending to change the topic of research / thesis proposal after successfully defending the proposal, shall take the approval of the Controller of Examinations, on the recommendation of the Doctoral Committee. The reason for the change in the topic shall be substantiated by the candidate in consultation with the Research Supervisor. If approved, the new proposed topic / work shall be defended and followed henceforth as per these regulations.

<b>Progress Reports, Periodic Review and Research Credits</b>	16	16.1	A full-time candidate shall report to the Research Supervisor / Research Co-Supervisor on a regular basis and carry out research work as planned. A part-time candidate shall report to the Research Supervisor / Research Co-Supervisor as often as required.
		16.2	The Doctoral Committee shall periodically review the research progress of the candidate, at least twice in a year until the submission of the Thesis. Each candidate shall submit a research progress report in the prescribed format to the Doctoral Committee, two weeks prior to the schedule of the doctoral committee meeting. The half-yearly progress report shall cover the aspects such as, the new literature survey, if any, new data collected / obtained, techniques developed, progress in research, discussion of the work done during the review period, new findings and work plan for the future. A list of research papers prepared/published, if any, shall also be submitted. The candidate shall make oral presentation of the research progress before the Doctoral Committee. The Research Supervisor on behalf of the Doctoral Committee shall communicate the satisfactory research progress or otherwise of the candidate to the Controller of Examinations.
		16.3	<b>Cancellation of Registration on the Grounds of Poor Research Progress:</b> The Doctoral Committee may recommend the cancellation of Ph.D. registration of a candidate if two consecutive research progress reports are adjudged to be unsatisfactory or not submitted. Before recommending for cancellation of registration to the Vice-Chancellor, the Doctoral Committee shall issue a show-cause notice to the candidate, seeking his/her explanation. On the cancellation of registration, if any, the candidate may appeal to the Vice-Chancellor for revocation with valid reasons. The decision of the Vice Chancellor in this regard shall be final and binding.
<b>Minimum Publication Requirement</b>	17	17.1	A candidate shall have at least two papers published / accepted for publication in a refereed journal or equivalent as approved by the Doctoral Committee, before submitting his/her thesis. The publications shall be based on the research work pursued by the candidate towards the Ph.D. degree.
		17.2	The candidate shall include his/her affiliation with PES University in all publications in addition to his/her other affiliations, if any.
		17.3	The Doctoral Committee, after due consideration, may recognize filed or granted patent applications in lieu of one publication requirement. However, the patent process should have been successfully completed the publication stage.
<b>Submission and</b>	18	18.1	<b>Eligibility:</b> Upon successful completion of the

## Defense of Synopsis

Coursework, the Comprehensive Examination, Proposal Defense, Open Seminar, Satisfactory research progress and minimum publication requirements, the candidate shall be eligible to submit the Synopsis.

**18.2**                    **Submission of Synopsis:** At least two months prior to the probable date of submission of the Thesis, the eligible candidate shall submit the Synopsis in the prescribed format to the Doctoral Committee, through the Research Supervisor. The Synopsis shall be submitted along with a certificate from the Research Supervisor(s) stating that Coursework, Comprehensive Examination, Proposal Defense, Open Seminar, minimum publication requirements and all other academic requirements are fulfilled and a certificate from the Controller of Examinations that there are no arrears or dues. The Supervisor also has to submit a list of minimum four examiners from India and minimum four examiners from abroad as experts and working in same research domain.

**18.3**                    **Synopsis defense:**

(a) A candidate upon submission of the Synopsis, shall defend the same before the Doctoral Committee demonstrating his/her preparedness to submit the Thesis. The synopsis defense shall be of open seminar type.

(b) If the Doctoral Committee is not satisfied with the research work of the candidate, it may, in concurrence with the Research Supervisor(s), recommend improvements. In such a case, the candidate shall defend the Synopsis again before the Doctoral Committee as a open seminar, within a period of SIX months.

**18.4**                    **Permission for Submission of Thesis:** The Doctoral Committee shall permit the candidate to submit the Thesis considering the research work of the candidate, his / her performance at the Synopsis defense and other aforementioned requirements.

**Submission of Thesis**    **19**                    **19.1**                    The candidate shall submit one hard copy of the Thesis along with a soft copy in the prescribed format within TWO months from the date of successful Synopsis Defense along with (a) an application for adjudication of the Thesis and (b) undertakings from the candidate as well as Research Supervisor(s), as applicable, mentioning that:

*“The Thesis is based on the individual, original work of the candidate, which is previously unpublished work. The Thesis does not contain any work which has been previously submitted for the award of any degree anywhere. The Thesis does not contain any material that infringes on the copyright/intellectual property rights of any other individual or*

*organization and does not hurt the sentiments of any individual(s) or religion(s). Any text, tables, equations, diagrams, figures, charts, graphs, and photographs included in the Thesis which have been taken from sources like research papers, books, periodicals, Web sites or others have been cited appropriately. Further, the opinions expressed or implied in the Thesis are entirely those of the candidate."*

**19.2** In case the candidate is unable to submit the Thesis within the stipulated time from the date of submission of the Synopsis, he / she may seek extension of time, up to a maximum of THREE months, from the Controller of Examinations on the recommendation of the Doctoral Committee.

**19.3** The candidate shall also pay the prescribed Thesis submission fees, and produce the "No Dues Certificates" from the Controller of Examinations while submitting the Thesis.

**Thesis Evaluation and Defense**

**20**

**20.1**

The Thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor/Co-Supervisor and atleast two external examiners, who are not in employment of the University, of whom one examiner may be from outside the country. The examiners shall complete the review and send the report within four months from the date of sending the thesis to the concerned examiner. In case any external examiner fails to submit the review within the time specified, the Thesis shall be sent to another examiner out of approved panel of examiners for evaluation.

**20.2**

**Scheduling of open viva-voce for Thesis defense:**  
The *viva-voce* examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Dean of Research with Controller of Examination and Research Supervisor and at least one of the two external examiners, and shall be open to be attended by Members of the Doctoral Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

The candidate shall address all the queries from any member of the audience at the time of the open *viva-voce*. Any modifications/corrections suggested during the open *viva-voce* shall be incorporated in the Thesis in consultation with the Doctoral Committee before the final submission.

**20.3**

The public *viva-voce* of the research scholar to defend the Ph.D. thesis shall be conducted only if the evaluation reports of the external examiners on the thesis are satisfactory and include a specific recommendation for conducting the *viva-voce*



examination. If the evaluation report of one of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the University shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

<b>Eligibility for the Award of Ph.D. Degree</b>	<b>21</b>	<p>A candidate shall be declared to be eligible for the award of the Ph.D. degree if he/she has fulfilled:</p> <ul style="list-style-type: none"> <li>I Credit compliance for coursework as prescribed by the Faculty of Study within the stipulated maximum time duration;</li> <li>ii Successful completion of comprehensive examination;</li> <li>iii Successful Proposal defense;</li> <li>iv Successful completion of Open Seminar and research work within the stipulated maximum time duration;</li> <li>v Compliance with publications requirement;</li> <li>vi Successful completion of Pre-Synopsis Open Seminar;</li> <li>vii Submission of Synopsis;</li> <li>viii Submission of Thesis;</li> <li>ix Successful defense of the Thesis in the open <i>viva-voce</i> with favourable recommendation from examiners;</li> <li>x Submission of final revised Thesis incorporating the modifications/corrections, if any as suggested by examiners;</li> <li>xi Minimum duration requirement of THREE years;</li> <li>xii No pending disciplinary action; and</li> <li>xiii No dues of any kind to the University.</li> </ul>
<b>Award of Degree</b>	<b>22</b>	<p>After the Thesis defense in the open <i>viva-voce</i> and submission of the Thesis in its final form, the Doctoral Committee shall recommend in the prescribed format to the Controller of Examinations for the award of degree to the candidate. The candidate shall be given a Provisional Degree Certificate by the Controller of Examinations, upon successful completion of all requirements, submission of application for degree certificate in prescribed format and payment of prescribed fees. The candidate shall be given a Degree Certificate, upon successful completion of all requirements, submission of application for degree certificate in prescribed format and payment of prescribed fees at the ensuing Convocation.</p>
<b>Leave of Absence</b>	<b>23</b>	<p>A leave of absence of not exceeding ONE year may be granted to a candidate upon a written request on the grounds such as ill-health and calamity in the family which may be approved by the Controller of</p>

Examinations, on the recommendation by the Research Supervisor and the Doctoral Committee.

<b>Discontinuation and Exit Option</b>	<b>24</b>		A candidate who wishes to discontinue the Ph.D. programme may write to the Controller of Examinations with valid reasons, which may be recommended by the Doctoral Committee and approved by the Vice Chancellor. Such a candidate shall be given a certificate mentioning the number of credits the candidate has fulfilled under each category at the time of discontinuance.
<b>Discipline and Ethics</b>	<b>25</b>	<b>25.1</b>	Every candidate for the Ph.D. programme shall maintain the discipline and decorous behavior both inside and outside the Campus and shall not indulge in any activity that could bring down the reputation of the University. Any act of indiscipline of a candidate shall be referred to the University Discipline Committee for inquiry and necessary disciplinary action, if any.
		<b>25.2</b>	The Registrar, with the approval of the Vice-Chancellor, may suspend a candidate from the programme, pending inquiry depending on prima facie evidence.
		<b>25.3</b>	Any act of unethical practices including plagiarism by the candidate (as determined by the concerned Doctoral Committee, Dean of Research, the Controller of Examinations or the Registrar and the like) shall automatically result in the dismissal of such a candidate from the programme and his/her admission stands cancelled. Further, such a candidate shall not be eligible to apply for any programme of study offered by the University.
		<b>25.4</b>	In the event of complaints from any source and the Thesis being proved to be copied, plagiarized, misrepresented academically or the result of any other unethical practices, the University shall have the right to rescind the degree at any time. Such candidates shall not be eligible for registering for any programme at the University in the future.
		<b>25.5</b>	A candidate may appeal against the disciplinary action taken against him/her to the Vice-Chancellor, whose decision shall be final and binding.
<b>Intellectual Property</b>	<b>26</b>	<b>26.1</b>	A candidate shall not publish his/her Thesis as a whole without specific written permission from the University.
		<b>26.2</b>	Any intellectual property resulting from the research work of the candidate shall be the joint rights of the candidate, members of the Doctoral Committee where applicable, and PES University.
<b>Repeal and Savings</b>	<b>27</b>	<b>27.1</b>	Notwithstanding anything contained in these

<b>Clause</b>		Regulations, the provisions of any guidelines, orders, rules or regulations in force at the University shall be inapplicable to the extent of their inconsistency with these Regulations.
	<b>27.2</b>	The University shall issue such orders / instructions, and prescribe such format / procedure, as it may deem fit to implement the provisions of these Regulations.
<b>Protection of Action Taken in Good Faith</b>	<b>28</b>	No suit or other legal proceedings shall lie against any Officer or other employee of the University for anything, which is done in good faith or intended to be done in pursuance of the provisions of the Act, the Statutes, or these Regulations.
<b>Removal of Difficulties</b>	<b>29</b>	If any difficulty arises in giving effect to the provisions of these Regulations, the University may, by a notification or by order, make such provisions, which are not inconsistent with the provisions of the Act, Statutes, as appear to it to be necessary or expedient, for removing the difficulty.
<b>Bar to Claim Damages for Delay</b>	<b>30</b>	No candidate shall be entitled to claim any damages, whatsoever from the University on the account of late declaration of result, delay in the issue of grade sheets or any other certificates, Thesis evaluation or any other process associated with the examinations or evaluation, or other like cases.
<b>Production of Answer Books and Thesis</b>	<b>31</b>	The answer books of the University examinations for the coursework or Synopsis or Thesis shall not be subject to production before any court of justice (civil or criminal) or before the candidate or before anybody else on his behalf or before any internal or external authority.
<b>Interpretation</b>	<b>32</b>	Any question as to the interpretation of these Regulations shall be decided by the Vice-Chancellor, whose decision shall be final and binding. The University shall have the power to issue clarifications to remove any doubt, difficulty or anomaly which may arise during implementation of the provisions of these Regulations.
<b>Power to Amend the Regulations</b>	<b>33</b>	The Executive Council may make new or additional Regulations or amend or repeal these regulations as prescribed under Section-38 of the Act.

## Annexure 1. Flow diagram indicating various stages towards award of Ph.D. degree

