

Centenary Celebrated Sharnbasveshwar Vidya Vardhak Sangha's

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Sharnbasva University

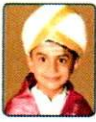
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REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D) 2022-23





ಶರಣಬಸವ
SHARNBASVA



ವಿಶ್ವವಿದ್ಯಾಲಯ
UNIVERSITY



A State Private University approved by Govt. of Karnataka vide Notification No. ED 144 URC 2016 dated 29-07-2017
Recognised by UGC under Section 2f vide No. F.8-29/2017 (CPP-I/PU), dated 20-12-2017 & AICTE, CoA, PCI New Delhi

SHARNBASVA UNIVERSITY, KALABURAGI

Minimum Standards and Procedure for Award of Ph.D. Degree Regulations - 2023

Approved by the Board of Governors (BoG) in its 20th meeting held on 27/01/2024 (item No. 20.11).

Registrar

Sharnbasva University

Kalaburagi-585103 - Karnataka - India



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Registrar
Sharnbasva University
Kalaburagi-585103 - Karnataka - India



REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph. D.) 2023.

[Framed as per the provisions under section-36 of Sharnbasva University Act-2012]

Preamble

These Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) – 2023 have been framed with a view to fulfill the provisions in the UGC (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 and UGC Gazette Notification (Specification of Degrees), 2014.

The Sharnbasva University shall offer the Doctor of Philosophy (Ph.D.) programme in various faculties of study to provide opportunity to Research Scholars to obtain advanced expertise in their field of interest. The objective of the research programmes is to nurture highly qualified researchers who are able to extend / create knowledge and innovate.

23Ph.D.1: Short title, extent and commencement

- 1) These Regulations shall be called “Sharnbasva University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) - 2023”.
- 2) These Regulations shall apply to all Ph. D Programs conducted by Sharnbasva - University.
- 3) These regulations shall be applicable for the Research Scholars seeking registration and admitted Research Scholars for Ph.D.programme of Sharnbasva University.
- 4) All correspondence with the University regarding the Ph.D. programme, like Reports/Presentation /Thesis shall be in English language only except language faculty.

23Ph.D.2 Definitions

In these Regulations unless the context requires otherwise or it is specifically so defined:

- i. **“Act”** means The Sharnbasva University Act, 2012 (Karnataka Act No. 17 of 2013);
- ii. **“Board of Governors”, “Board of Management”, “Academic Council”, “Finance Committee” and “Research Council”** means respectively Board of Governors (BOG), Board of Management (BOM), Academic Council (AC), Finance Committee, and Research Council of the University;
- iii. **“Campus”** means a campus established and maintained by the University;
- iv. **“Chancellor”, “Vice-Chancellor”, “Pro-Vice-Chancellors”, “Registrar”,**



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- “Registrar Evaluation”, “Dean” and “Departmental Chairperson”** means respectively the Chancellor, Vice-Chancellor, Pro-Vice-Chancellors, Registrar, Registrar Evaluation, Dean and Departmental Chairperson, of the University;
- v. **“VC”** means Vice-Chancellor of Sharnbasva University;
- vi. **“CIE” and “SEE”** means respectively the Continuous Internal Evaluation and Semester End Examination of the University;
- vi. **“Committees”** means the Committees formed by various authorities and officers of the University;
- vii. **“Convocation”** means the convocation of the University, where the Degrees, Honorary Degrees, Diplomas, Academic Distinctions and Certificates are awarded as per the requirements of the University;
- viii. **“Academic Year”** means two consecutive (one odd + one even) semesters constitutes one Academic Year;
- ix. **“CBCS”** means Choice Based Credit System which provides choice for the Research Scholars to select from prescribed courses (core, electives and foundation courses);
- x. **“Course”** means one of the papers (subjects) which comprise a programme of study;
- xi. **“Credit”** means a unit by which the course is measured. It determines the number of hours of instructions required per week. One credit is equivalent to one hour of teaching (lecture) or three hours of tutorial/practical work/field work per week;
- xii. **“Credit Point”** means the product of grade point and number of credits for a course;
- xiii. **“Grade Point”** means a numerical weight allotted to each letter grade on 10-point scale;
- xiv. **“Letter Grade”** means an index of the performance of Research Scholars in a said course. Grades are denoted by letters O, A+, A, B+, B, C, P, F and Ab;
- xv. **“CGPA”, “SGPA”** means respectively Cumulative Grade Point Average and Semester Grade Point Average;
- xvi. **“Programme”** means an educational programme leading to award of a degree or certificate;
- xvii. **“Degree”** means a degree awarded by the University with or without specialization and/ or Minor;


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- xviii. **“Integrated Degree”** means a higher degree award combining the requirements of todegrees in sequence conducted in a shorter time frame, for example., M.Sc.+ Ph.D., M. Tech + Ph. D.
- xix. **“Research Centre”** means the research laboratory in various faculties of the University.
- xx. **“Examination Hall”** means both the hall where theory examinations are conducted or the laboratory or the workshops etc. where practical related examinations are conducted.
- xxi. **“Government”** means the Government of Karnataka;
- xxii. **“UGC”** means the University Grant Commission, New Delhi.
- xxiii. **“AICTE”** means the All India Council for Technical Education.
- xxiv. **“COA”** means the Council of Architecture, New Delhi.
- xxv. **“MHRD”** means the Ministry of Human Resource and Development.
- xxv. **“Notification”** means the notification of the University;
- xxvi. **“Research Scholar”, “Research Scholar”** means a person admitted to and pursuing a specified programme of study in the University;
- xxvii. **“Adjudicator”** means a person who makes official decision about the Ph.D. Work.
- xxviii. **“Teacher”, “Course Instructor”** means respectively a faculty appointed for imparting instruction and research guidance to Research Scholars in the University and the Teacher instructing a Course;
- xxix. **“Research Supervisor”, ”Research Guide”/“Co-supervisor”, “Co-Guide”** means A Full time Professor /Associate Professor/ Assistant Professor of the University qualified as per the norms of UGC/AICTE/COA, etc. who will be responsible for guiding the Research Research Scholars/ Research Scholars.
- xxx. **Adjunct Faculty:** means a part time or Contingent instructor, but not full time Faculty member hired to teach by Higher Educational Institution.
- xxxi. **“ETR”** means Entrance Test for Research leading to Ph.D./M.Sc. Engineering by research.
- xxxii. **“University”** means the Sharnbasva University, Kalaburagi.
- xxxiii. **“PDC”** means Provisional Degree Certificate, which will be issued prior to the annual convocation.



23Ph.D.3: Nomenclature and Duration

23Ph.D.3.1 Nomenclature:

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

23Ph.D.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 two (2) years can be given through a process of re-registration ; provided, however, that the total period for completion of Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme. Provided further that, female Ph.D. scholars and persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme, as per the guidelines issued by the UGC from time to time.

The Research Scholar shall pay the prescribed fees during the period of extension.

23Ph.D.3.3

The medium of instruction and the language of thesis shall be in English, except in those faculty of studies where other languages are permitted by the Research Admission Committee.

23Ph.D.4: Formation and Functions of Boards and Committees

23Ph.D.4.1 Formations of Boards/Committees

The University shall constitute the following Boards/Committees for monitoring the Ph.D. Programme:

- a) Research Admission Committee (RAC)
- b) Doctoral Committee (DC)
- c) Viva - Voce Board
- d) Such other Boards/Committees, as may be required.

The composition, duties and responsibilities of the Boards and Committees shall be as given below:



23Ph.D.4.2 Research Admission Committee (RAC)

- i) The Research Admission Committee to be constituted by the Vice Chancellor for each Faculty of study and shall consist of:
 1. Dean of Research or His/ Her nominee- Chairperson
 2. Dean of the Faculty, -Member
 3. Nominee of the Board of Management -Member
 4. Nominee of the Academic Council -Member
 5. Nominee of the Vice Chancellor -Member
 6. Registrar -Member Convener
- ii) If there is no Dean appointed for a Faculty, the Vice Chancellor may nominate one among the other Deans to be the Chairperson of the Research Admissions Committee for that Faculty.
- iii) The Research Admissions Committee shall be responsible for:
 - Notification of intake
 - Conduct of eligibility test
 - Preparing of the merit list(s)
 - Organizing the Interview for Research Scholars
 - The Reservation Policy followed
 - Pre-registration interview facilitated
 - Conducting such other tasks connected with the admission of the Research Scholars for the Ph.D. programme.
- iv) The tenure of the Committee shall be two years and the constitution of the Committee shall be aligned with the academic year at the University. The Committee shall meet as often as required.
- v) All members of RAC must be Ph.D. holders and active researchers.

23Ph.D.4.3 Doctoral Committee (DC)

- i) A Doctoral committee (DC) shall be constituted for each Research Scholar 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 Research Scholar shall be:

1. Dean of Research or His/ Her nominee- Chairperson
2. Dean/Chairman of the Faculty -Member
3. Two members, with Ph. D. qualification, at least one from outside the University, preferably from reputed institutions of higher learning / industry / research organization - Members



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4. Research Supervisor -Member Convener
5. Research Co-Supervisor (if any) -Member

- ii) The Doctoral Committee (DC) shall be responsible to review and monitor the progress of the Research Scholar in Ph.D. research work from its commencement until submission of the Thesis. The Committee shall meet as often as required, but at least once in every six months before forwarding the Six-Monthly Progress Report of the Research Scholar to the Registrar Evaluation and the Dean of the research by the research supervisor.
- iii) Each semester, a Ph.D. scholar shall appear before the DC to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The DC shall submit its recommendations along with a copy of Ph. D. scholar progress report to the Dean Research of our University. A copy of such recommendations shall also be provided to the Ph.D. scholar.
- iv) In case the progress of the Ph.D. scholar is unsatisfactory, the DC shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the DC may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.
- v) If the Dean of the Research is also the Research Supervisor of the Research Scholar concerned, the VC shall appoint an alternate Chairperson/Member from the same faculty for this Committee.
- vi) Also, the Committee shall have the same composition for all the Research Scholars registered under one Research Supervisor.
- vii) The VC shall appoint alternate domain expert(s) on the Committee in consultation with the Dean of the faculty, if any of the appointees is unable to attend the deliberations of the Committee for more than two half-year periods at a time.
- viii) Any request for the change of Doctoral Committee by a Research Scholar 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.

23Ph.D.4.4 Thesis Viva-Voce Board

- i. The Thesis Viva-Voce Board shall be constituted by the Vice Chancellor for each Research Scholar soon after receipt of favorable Reports from all the adjudicators. It shall have the following composition:



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1. Dean/Chairperson of their faculty – Ex-officio Chairperson
 2. Research Supervisor -Chairperson
 3. Co- Supervisor (s), if any -Co-Chairperson
 4. Identified Adjudicator -Member
- ii. The board shall conduct the final viva-voce for the research scholar to defend his/her Ph.D.thesis.
- iii. The board shall submit its detailed report in the prescribed format to the Registrar Evaluation.
- iv. In case the dean of faculty is also the research supervisor then chairperson of the department shall be the Ex-officio chairperson and if chairperson is the research supervisor then dean shall be the Ex-officio chairperson.

23Ph.D.4.5 Other Boards and Committees

- i. The Vice Chancellor may constitute other Boards/Committees in connection with other specific requirements in the conduct of the Ph.D. programme.
- ii. The duties/responsibilities and other details of these Boards/Committees shall be notified by the University as and when they are constituted.

23Ph.D.4.5.1 Provisional Degree Certificate Recommendation Committee

- i. This committee shall be constituted by the Vice chancellor based on the reports of Thesis viva voce board (Ph.D. 4.4). It shall have the following composition.

1. Director	Chairperson
2. Registrar	Member
3. Dean of University	Member
4. Dean of Research	Member
5. Dean/Chairperson of concerned Faculty/Department	Member
6. Registrar Evaluation	Member
- ii. Registrar Evaluation shall place all the records of the concerned Research Scholar (Thesis submission formats) along with the recommendations of Thesis viva voce board (23Ph.D. 4.4).
- iii. The committee shall go through all the records along with the opinion of the experts in the domain area and communicates its observations/recommendation to the Vice chancellor for further action.
- (iv). Issue of Provisional (Ph.D.) Degree Certificate (PDC) effecting from the date of successful completion of viva voce.



23Ph.D.5 Subject / Title of Research and nature of research programme

23Ph.D.5.1 List of Faculties

The University shall permit the registration for Ph.D. in the following Faculties, namely,

- i. Faculty of Engineering & Technology
- ii. Faculty of Business Studies
- iii. Faculty of Social Sciences
- iv. Faculty of Science and Technology
- v. Faculty of Computer Applications
- vi. Faculty of Architecture
- vii. Faculty of Fine Arts and Music
- viii. Faculty of Languages
- ix. Faculty of Pharmaceutical Sciences
- x. Any other Faculty.

23Ph.D.5.2 Inter-Disciplinary Subject Areas

- i. It shall also be possible for a Research Scholar to pursue Ph.D. in a subject area of inter- disciplinary nature in the same Faculty in which the Research Scholar has obtained the PG/UG degree or across two or more Faculties in the University.
- ii. The admission of such Research Scholars shall be subject to clause Ph.D. – 4.2 and availability of guide/ Vacancies.

23Ph.D.6 Eligibility for Admission

23Ph.D.6.1 Eligibility Requirements

The eligibility requirements for Research Scholars to get admitted to the Ph.D. programme shall include the following:

23Ph.D.6.1.1 Categories of Research Scholars and Other Requirements

There shall be provision for the following categories of Research Scholars for admission to Ph.D.:

- i. **Full-Time:** Research Scholars to pursue Ph.D. research on full time basis shall also include QIP/FIP scholars.



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- ii. **Part-Time:** In-service Research Scholars having a minimum professional experience of one year after their PG Degree from among the regular faculty members working in any Engineering College /Polytechnic / Health Sciences /Agriculture /Architecture /Arts, Science, Commerce etc; /University / Deemed to be University (recognized / accredited by appropriate bodies in India) or staff of public / private organizations/ industries shall be eligible to pursue Ph.D. research on a part time basis. Such of the Research Scholars have to submit NOC (No Objection Certificates) from the appropriate authority in the organization where the Research Scholar is employed, clearly stating that :
- The Research Scholar is permitted to peruse on the part time basis.
 - His / Her official duties permit him/her to devote sufficient time for research.
 - If required, he/she will be relieved from the duty to complete the course work.
- iii. **Full-Time (Special):** NRI/FN/PIO Research Scholars shall be eligible for admission to Full Time Ph.D. research as indicated in 6.1.1. However, the Research Scholars shall have passed the UG / PG programmes with medium of instruction in English or qualified in TOEFL / ELTS, or equivalent and be able to communicate in English and also submit the thesis in English language only.

23Ph.D.6.1.2 Study leave/Employment/Clearances

- i. Employed Research Scholars, who take up Ph.D. Programme on full time basis, shall produce NOC from their employer/organization(s) with a sanctioned study leave for a minimum period of three years with full salary.
- ii. Unemployed Research Scholars who take up Ph.D. programme on full time basis shall not be allowed to take up any employment during such period of Ph.D. work. However, they can apply for scholarship / fellowship / stipend/ assistantship, if any, with intimation to the University.
- iii. Foreign Research Scholars shall hold valid passport/visa, clearance from MHRD and other documents as mandated by the Government of India throughout their Research Scholarship at the University.

23Ph.D.6.2 Minimum Qualifications:

The minimum academic qualifications required for seeking admission to the Ph.D. Programme, shall be as given below.



23Ph.D.6.2.1

As per NEP 2020 and UGC regulations 2022, eligibility criteria for admission to Ph.D. programme is as follows:

- i. A 1-year/2- Semester master's degree programme after a 4-year/8- semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or it's equivalent grade in a point scale wherever grading system is followed.

Or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by and authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards if the educational institution.

- ii. Research Scholar who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to asses, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme.

23Ph.D.6.2.2. Relaxation of Minimum Requirements

- i. A Research Scholar belonging to SC/ST/Category-I/ Physically Challenged, Economically Weaker Section (EWS) or any other reserved category as notified by Government of Karnataka from time to time shall have relaxation of 5% or equivalent grade in the minimum prescribed qualification level for the general category.

23Ph.D.7 Recognition, Allocation of Research Supervisor and Functioning of Research Supervisor

23Ph.D.7.1 Eligibility for Recognition as Research Supervisor

- i. Any regular (permanent) professor / Associate of our University with Ph.D. and at least five research publications in referred journals and any regular (permanent) Assistant Professor of the University with a Ph.D. and at least three research publications in referred journals may be recognized as Research Supervisor.
- ii. Provided that, the recognized Research Supervisor has an experience of at least



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- one academic year (two years desirable), after obtaining the provisional Ph.D. Degree.
- iii. Such recognized research supervisors cannot supervise research scholars in other university/ Institution/ Deemed to be University/ College, etc.
 - iv. Provided that in areas/discipline where there is no or only a limited number of refereed journals, University may relax the above condition for recognition of a person as research Supervisor with reasons recorded in writing.
 - v. **The external supervisors are not allowed.** However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of our University or from other related institutions with the approval of the Research Admission Committee in consultation with Doctoral Committee.
 - vi. A Research Supervisor shall not opt to become Co-Supervisor for more than *five* Research Scholars at any time.
 - vii. No Research Supervisor/Co-Supervisor shall supervise his/her close relative or spouse for Ph.D. Degree of Sharnbasva University.
 - viii. Adjunct Faculty Members shall not act as Research Supervisors and can only act as Co Supervisors.

23Ph.D.8 Intake

23Ph.D.8.1 Number of Research Scholars per Research Supervisor

- i. A research Supervisor /Co- Supervisor who is a professor, at any given point of time, cannot guide more than Eight (8) Ph.D. Scholars. An Associate Professor, at any given point of time, cannot guide more than Six (6) Ph.D. Scholars. An Assistant Professor, at any given point of time, cannot guide more than Four (4) Ph.D. Scholars.
- ii. In case, the research supervisors have no earlier experience of guiding research scholars then the number of Research Scholars shall be half of the above (i).
- iii. In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to Which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.
- iv. The Research Scholars registered for Ph.D. under a Research Supervisor/Co-Supervisor who have completed the final Viva-Voce shall not be considered while counting the number of Research Scholars.



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- v. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- vi. **Reservation Policy**
The University shall follow the Reservation Policy of Government of India and Government of Karnataka as applicable from time to time, for the total number of Research Scholars admitted to the Ph.D. programme in an academic year.
- vii. Each supervisor can guide up to two international research scholars in a supernumerary basis over and above the permitted number of Ph.D. Scholars as specified in clause 8.1 (i) above.
- viii. At any point, the total number of Ph.D. Scholars under a faculty member, either as a supervisor or a Co-supervisor, shall not exceed the number prescribed in clause 8.1(i) and 8.2(i).

23Ph. D.9 Admission Procedure

23Ph.D.9.1: University Notification

The Research Admission Committee shall issue a notification on the University website, once in an academic year subject to availability of Research Guides and vacancies, covering:

- (i) The procedure to be followed for Ph.D. admissions.
- (ii) Eligibility requirements.
- (iii) How to apply.

The admissions shall be made once annually based on the Research Scholar's rank in the Sharnbasva University-Entrance Test (ETR) and the pre-registration interview performance, both being conducted only once in a year subject to availability of seats.

23Ph.D.9.2 Submission of Applications and their Processing

All eligible Research Scholars satisfying the requirements as in Ph.D. – 6 shall submit their applications for Sharnbasva University -Entrance Test for Research (ETR) and Ph.D. admission to the University in the prescribed format along with necessary documents; viz., attested copies of degree certificate(s), marks cards of all the related examinations, employer's certificate if employed, and such other documents as may be prescribed.



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23Ph.D.9.3 Scrutinizing of Applications by the Research Admission Committee

The Research Admissions Committee shall arrange for:

- i. Scrutinizing of the applications to determine their eligibility, including those eligible for exemption from the Sharnbasva University Entrance Test for Research (ETR);
- ii. Conducting the Sharnbasva University Entrance Test for Research (ETR) and getting the answer scripts evaluated;
- iii. Preparation of the merit- list(s) of Research Scholars based on the Sharnbasva University Entrance Test for Research (ETR) score in percentage format;
- iv. Deciding on the number of Research Scholars from the merit list(s) to be called for pre-registration interview for Sharnbasva University;
- v. Conducting pre-registration interview for such short-listed Research Scholars.

23Ph.D.10: Sharnbasva University Entrance Test for Research (ETR)

23Ph.D.10.1 Conduct of Sharnbasva University Entrance Test for Research (ETR)

- i. All the eligible applicants shall appear for the Sharnbasva University Entrance Test for Research (ETR) which shall be arranged to determine the Research Scholar's aptitude for research. The ETR Syllabus shall consist of 50% of Research Methodology and remaining 50% shall be specialization specific, **ETR score is valid for two (2) consecutive Academic years.**
- ii. The Research Scholars who have secured 50 % marks in ETR are eligible to be called for Pre - Registration Interview during the year. However, the research scholars belonging to SC/ST/CAT – I/ Physically challenged/Economically weaker section or any other reserved category as notified by Govt. of Karnataka from time to time shall have a relaxation of 5% or equivalent grade.
- iii. Merit Lists shall be prepared faculty wise based on the performance of the eligible Research Scholars.
- iv. University may decide the number of eligible Research Scholars to be called for an interview based on the number of Ph.D. seats available.

23Ph.D.10.2 Exemption from Sharnbasva University-ETR

The following categories of Research Scholars may be exempted from appearing at Sharnbasva University Entrance Test for Research (ETR) with the approval of Research Admission Committee:

- (i) Full-time (Special) Research Scholars.
- (ii) Faculty members selected under QIP / FIP.
- (iii) Research Scholars qualified in the UGC-NET (including JRF)/UGC-CSIR



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NET (including JRF)/ SLET/ GATE or other equivalent national level research eligibility tests and having qualifying percentile scores in their respective validity periods;

(iv) Research Scholars with M.Phil. Degree or equivalent as recognized by the University.

23Ph.D.10.3 Eligibility for Pre-Registration Interview

- i. Research Scholars successful in Sharnbasva University Entrance Test for Research (ETR) as per 23Ph.D.10.1 and those from the categories listed in 23Ph.D.10.2(iii) shall be included in the lists of qualified Research Scholars to appear for the pre-registration interview. However, Research Scholars under 23Ph.D.10.2 (i-ii) shall be considered for admission as per the recommendations of RAC and availability of seats.
- ii. The number of Research Scholars to be called for pre-registration interview at a Research Centre shall be determined from the lists in i) above by the Research Admission Committee based on the intake capacity in the year.

23Ph.D.10.4 Pre-Registration Interview

23Ph.D.10.4.1 Expert Committees

- i. The Research Admission Committee shall arrange the conduct of pre-registration interview of those Research Scholars called for this purpose as per 23Ph.D.10.3. The object of pre-registration interview shall be to assess the suitability of a Research Scholar to take up the proposed research work.
- ii. For this purpose, the VC shall constitute Expert Committees for each faculty/specialization in which the Research Scholars are being considered for admission, based on the Research Admission Committee recommendation.

23Ph.D.10.4.2 Conducting Interview

- i. The Expert Committee meetings for pre-registration interview shall be held on date/time and venue(s) as decided by the Research Admission Committee and notified to the Expert Committee(s) and the Research Scholars concerned.
- ii. The scope of interview shall be to judge the Research Scholar's knowledge and experience in the subject area concerned and his/her preparations to take up the proposed research work.
- iii. Only those Research Scholars successful in the pre-registration interview shall be considered for provisional admission as Research Scholars for Ph. D.



23Ph.D.10.4.3 Interview Performance

23Ph.D.10.4.3.1 Procedure to conduct Pre-Registration interview

- i. The candidate appearing for the Pre-Registration interview shall have to present to the committee covering the following points:
 - a. Literature Survey
 - b. Material
 - c. Presentation Skills
 - d. Oral Questions
- ii. If the performance of the candidate is satisfactory, the RAC can include his/her name in the merit list.
- iii. If the performance of a Research Scholar is not satisfactory at Pre-Registration interview, the Research Admission Committee may provide one more chance subsequently to the Research Scholars to appear at the Pre-Registration interview provided he/she meets the validity requirements for eligibility as per 23Ph.D.10.1 and 23Ph.D.10.2 and subject to availability of seats.
- iv. The Research Admission Committee may suggest to such Research Scholars as in i) above improvements if any, in the Title/Synopsis presented by each of them at the interview, with a view to assist them in the future.
- v. The Research Scholar(s) failing in the interview even in the second attempt shall not be eligible for being considered further for Ph.D. admission. Such Research Scholar(s) shall have to appear for the Sharnbasva University Entrance Test for Research (ETR) afresh to become eligible again, if required.

23Ph.D.10.4.4. Preparation of Merit List Faculty Wise.

Faculty wise merit list shall be prepared based on ETR and Pre-Registration Interview performances: 70 % Weightage is given to ETR Score and remaining 30% for the performance in the Pre-Registration interview.

23Ph.D.10.5 Procedure for Provisional Registration

- i. The Research Admission Committee shall submit the consolidated merit list to the University for facilitating the provisional registration of Research Scholars as per their rank in the selection list.
- ii. The University shall communicate the merit list of selected Research Scholars to each Faculty.
- iii. The Research Admission Committee shall arrange for interaction between the Research Scholars selected for provisional registration and the possible Research Supervisor of the Faculty/specialization.
- iv. All Research Scholars unsuccessful in completing the process of admission for any reason may approach the Research Admission Committee for



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- reconsideration, (if required) and reconsideration is subject to availability of seats.
- v. Upon successful interaction with the proposed Research Supervisor(s), each Research Scholar shall submit his/her Research Proposal/Outline in the prescribed format to the University through the Research Centre concerned for the purpose of provisional registration to the Ph.D. Programme. This shall be mandatory for all the selected Research Scholars.
 - vi. The Research Proposal/Outline shall consist of the state-of-the-art, objectives, methodology, work plan and relevance of the proposed research area. The Research Scholars shall also indicate therein, the related branch of Engineering/Technology, Architecture, Science, Management Studies, Inter-disciplinary areas and/or allied fields.
 - vii. Each Research Scholar shall have to seek admission only in such branch/field of major discipline for which the department concerned is recognized as Research Centre by the University.
 - viii. The provisional registration of the Research Scholars shall commence from the date of announcement of selection result.
 - ix. Prescribed fees shall be paid by each Research Scholar to the University for completing the provisional Ph.D. Registration as notified by the University from time to time.
 - x. Each Research Supervisor(s) have to constitute a provisional Doctoral Committee for each Research Scholar as per clause 23Ph.D. 4.3 (i).

23Ph.D.10.6. The Ph.D. Programme

- i. Upon receiving the research proposal / outline and the provisional DC along with the prescribed fees for the Research Scholar, the Vice Chancellor shall approve the Doctoral Committee as per clause 23Ph.D. 4.3.
- ii. After provisional registration, the Ph.D. programme of the Research Scholar shall consist of three parts to be cleared in sequence, namely,
Part-I: Coursework
Part-II: Comprehensive Viva-Voce
Part-III: Pre-Submission Colloquium, Synopsis and Thesis Submissions.
These shall be followed by Thesis evaluation and its defense by the Research Scholar at the end.
- iii. The Coursework for all Research Scholars listed under 23Ph.D. 6.2 shall be as prescribed under 23Ph.D. 12.
- iv. Each Research Scholar shall be free to apply for a change in the Research topic /Coursework for the consideration of the Doctoral Committee before the completion of Part-I. But, the Research Scholar shall not be permitted to change



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the Research topic after the completion of Part-II of the programme.

- v. All the Ph.D. registrations shall be provisional initially and they shall be confirmed only on the successful completion of both Part-I and Part-II.

23Ph.D.10.7 Role of Doctoral Committee

- i. The Doctoral Committee shall scrutinize and approve the Coursework (Part-I), conduct of Comprehensive Viva-Voce (Part-II), and review/monitor periodically (at least once in six months) the research progress of each Research Scholar concerned until submission of his/her Ph.D. Thesis.
- ii. The Progress report of the Research Scholar shall be forwarded by the Doctoral Committee to the University regularly only after conducting his/her six-monthly review.

23Ph.D.11 Change of Research Supervisor

23Ph.D.11.1 Procedure to be Followed

- i. The request by a Research Scholar for change of Research Supervisor and/or Co-Supervisor shall be permitted by the University only under exceptional circumstances, as determined by the Departmental Research Centre and the Doctoral Committee. **A minimum lock-in-period of one year, maximum two (2) years, should be prescribed in case of change of research supervisor for the submission of final thesis, subject to fulfillment of other conditions related to thesis submission. This would be affected from the date of change of supervisor.**
- ii. In other cases, like transfer, retirement or resignation of the Research Supervisor/Co- Supervisor before the Research Scholar's submission of the thesis, the Dean shall normally permit the Research Scholar 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, and approval of the University.

23Ph.D.11.2 Handling of Conflict

In the case of any conflict between the Research Supervisor and/or Co-Supervisor and the Research Scholar, the department shall on receipt of request letter from either of the parties or both refer the matter to the DC and the DC may communicate its recommendation as per Clause Ph.D.11.1(i) for the approval of the Vice Chancellor. The decision of the Vice Chancellor shall be final in this regard.



23Ph.D.12 Part-I: Coursework

23Ph.D.12.1 Proposing Coursework

- i. Each Research Scholar provisionally registered for the Ph.D. programme shall have to go through the prescribed coursework choosing four (4) subjects (minimum of 12 credits) for the faculty of Engineering & Technology and five (5) (minimum of 12 credits) subjects for the faculty of Business studies, Science & Technology, Languages, etc., out of which Research Methodology and Research Publication Ethics are compulsory for all the faculties. The remaining two (2) subjects (for the faculty of Engineering & Technology) and three (3) subjects (for other faculties) shall be pertaining to their Research work and related as decided by the Doctoral Committee and obtain a minimum of 55 % in each subject registered.

Grades and Grade Points

Level	Outstanding	Excellent	Very Good	Good	Above Average	Fail	Absent
Letter Grade	O	A+	A	B+	B	F	Ab
Grade Points	10	9	8	7	6	00	00

Grade Point Scale

Level	Outstanding	Excellent	Very Good	Good	Above Average	Fail	Absent
Letter Grade	O	A+	A	B+	B	F	Ab
Grade Points	10	9	8	7	6	00	00
Score (marks) Range (%)	≥ 90	< 90 ≥ 80	< 80 ≥ 70	< 70 ≥ 60	< 60 ≥ 55	< 55	00

- ii. The coursework shall include Research Methodology and Research Publication Ethics courses, covering areas such as quantitative methods, computer applications, research ethics, reviewing of published research in the relevant field, field work, statistical methods, intellectual property rights and related topics.
- iii. The remaining credit requirements in each case shall be met from advanced level courses in the relevant areas as approved by the BoS concerned and the AC and as notified by the University. Courses from these lists shall be prescribed by the Research Supervisor and Co-Supervisor (if any) in consultation of the Dean of Faculty and approved by the Doctoral Committee concerned.



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- iv. Courses prescribed for the Coursework shall be selected from different groups in such a way that there shall be minimum of one course, but not more than two courses from the same group, if grouped by the Faculty/ BoS concerned.
- v. The University shall have the freedom to revise and notify the approved courses in the list(s) from time to time.
- vi. In all the cases, the prescribed coursework may be completed satisfactorily within the first two semesters of provisional registration of the Research Scholar(s). However, in no case the time period for completing the coursework shall exceed four semesters.
- vii. The University may arrange the approved course on Research Methodology at one or more of its campuses as often as required and the provisionally registered Research Scholars shall avail of this facility.
- viii. Research Scholars undergoing Coursework shall submit their applications in the prescribed format together with the relevant fees to the University for course-end Examination as and when notified by the University.

23Ph.D.12.2 Setting up of Question Papers

- i. Question papers shall be set by the identified examiners appointed for this purpose by the University from the panel recommended by the Research Admission Committee.
- ii. Each question paper shall be set for maximum marks of 100 and it shall have similar format as prescribed for Undergraduate/Postgraduate (UG/PG) degrees of Sharnbasva University.
- iii. The question paper setters and answer paper valuers shall have Ph.D. Degree in the relevant field.

23Ph.D.12.3 Evaluation of Answer Scripts

Answer scripts of all the Research Scholars shall be valued independently by two valuers.

23Ph.D.12.4 Highest of the Marks Awarded

If the difference between the marks awarded by the two valuers is $<15\%$, the marks awarded to the Research Scholar shall be the **highest** of the two evaluators.

23Ph.D.12.5 Appointment of Third Examiner

If the difference between the marks awarded by the two examiners is $\geq 15\%$, a third examiner shall be appointed to evaluate the answer script(s) concerned. The average of



the marks of the highest of two valuers shall be considered as the marks secured by the research scholars.

23Ph.D.12.6 Prescribed Passing Standards

- i. For passing the Coursework (Part-I), the Research Scholar shall obtain a minimum of 55% marks in each course registered.
- ii. Research Scholars shall be required to pass in each course in a maximum of two attempts i.e. within one year in two semesters. However, in no case the time period for completing the coursework shall exceed four semesters.
- iii. The University shall have the provision to issue Marks/Grade Card(s) to the Research Scholars for the completion of the coursework.

23Ph.D.12.7 Norms for Maintaining Provisional Registration

The following norms/standards shall be applicable to all the Research Scholars for maintaining their provisional registration:

- i. The coursework shall be completed and cleared by each Research Scholar with a minimum of 55% marks in each course within two consecutive coursework examinations conducted by the University from the date of provisional registration. However, in no case the time period for completing the coursework shall exceed four semesters.
- ii. The provisional registration of Research Scholars failing to fulfill the above requirements shall be automatically cancelled. Such Research Scholars shall seek provisional registration for Ph.D. afresh, if required.

23Ph.D.13 Prescribed Residence Period

23Ph.D.13.1 Mandatory Residence Period for Part-Time Research Scholars

- i. A Part-Time Research Scholar shall put in a minimum of *fifteen* days of residence for every two semesters at his/ her Research Centre before every review of the Doctoral Committee till the submission of the final Synopsis. This residence requirement shall be utilized by the Research Scholar for the purpose of coursework preparation as well as formulation/investigation of the research problem.
- ii. During the period of residence the Research Scholar has to sign in the attendance register placed in the office of the Dean of Research twice a day i.e. in the morning and evening.



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- iii. Each Part-Time Research Scholar shall submit to the University through his/her Research Centre a Certificate issued by the Research Supervisor/Co-Supervisor for completing the above residence requirement.

23Ph.D.14 Progress Reports / Periodic Review by the Doctoral Committee

23Ph.D.14.1 Procedure for Review

- i. The Doctoral Committee shall periodically review the research progress of the Research Scholar, at least once in six months until the submission of the Thesis.
- ii. Each Research Scholar shall submit a research progress report in the standard format to the Doctoral Committee, *two* weeks prior to the schedule of the meeting. The half-yearly progress report shall cover the aspects such as, new data collected / obtained, techniques developed, progress in research, discussion of the work done during the review period, new findings and work plan for the future. Research papers prepared/published, if any, shall also be submitted.
- iii. The Research Scholar shall make oral presentation of the research progress before the Doctoral Committee. The Doctoral Committee in turn shall communicate the satisfactory research progress or otherwise of the Research Scholar to the Research Centre for onward transmission to the University.

23Ph.D.14.2 Cancellation of Registration

- i. The Doctoral Committee shall be free to recommend the cancellation of Ph.D. registration of the Research Scholar if,
 - (a) Two consecutive research progress reports not adjudged to be satisfactory, and/or
 - (b) Two consecutive research progress reports not submitted;
- ii. Before recommending cancellation of registration, the Doctoral Committee shall issue a show-cause notice to the Research Scholar, seeking his/her explanation.
- iii. If the explanation is not agreed by the Doctoral Committee, the Research Scholar shall be free to appeal to the Vice-Chancellor with valid reasons, seeking intervention. The decision of the Vice-Chancellor in this regard shall be final.

23Ph.D.15 Part-II: Comprehensive Viva- Voce

23Ph.D.15.1 Requirements to be satisfied for Comprehensive Viva-Voce

- i. The comprehensive Viva-Voce shall be conducted after three semesters from the date of provisional registration.



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- ii. Each Research Scholar shall be required to submit a written request to the University through his/her Research Centre for the conduct of his/her comprehensive Viva-Voce, after six months of the successful completion of Coursework (Part-I), subject to fulfilling the requirement of (i) above.
- iii. In the case of health/employment related problems of a Research Scholar unable to take the comprehensive Viva-Voce as above, the University shall be free to allow a further period of six months for this purpose, on receipt of a written request from the Research Scholar with the recommendations of his/her Research Supervisor(s) and the Doctoral Committee forwarded through the Research Centre.
- iv. However, for whatever reason(s), if the comprehensive Viva-Voce is not completed within three years from the date of provisional registration, the admission of the Research Scholar shall stand automatically cancelled.
- v. Desirable publication: Each Research Scholars may publish a minimum of one research paper in refereed journal based on his/her research work and may present one paper in a conference before submission of the written request to the university for the conduct of comprehensive Viva-Voce. However, the publication is not mandatory condition for the submission of thesis.

23Ph.D.15.2 Scheduling Comprehensive Viva-Voce

The Research Centre, in consultation with the Doctoral Committee and the University, shall schedule the date/time for the comprehensive Viva-Voce preferably within four weeks upon receipt of the written request from the Research Scholar.

23Ph.D.15.3 Conduct of Viva-Voce

- i. The Doctoral Committee shall conduct the comprehensive Viva-Voce in English language only except Faculty of Languages.
- ii. The comprehensive Viva-Voce shall be a closed-door oral examination consisting of the Doctoral Committee members (as examiners), and the Research Scholar. The Doctoral Committee shall be free to invite additional examiner(s) if need be for assisting it in the Viva-Voce, chosen from amongst a panel of two experts recommended by the Research Supervisor.

23Ph.D.15.4 Content and Form of Viva-Voce

- i. The Comprehensive Viva-Voce shall consist of a presentation by the Research Scholar on his/her topic of research, including the work done till date and the



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proposed future work.

- ii. The Doctoral Committee (and the additional examiner(s), if present) shall test the Research Scholar for fundamental concepts in the coursework and applied knowledge to carry out the proposed research work.

23Ph.D.15.5 Performance Standards at Viva-Voce

The Doctoral Committee shall communicate the result of the Comprehensive Viva-Voce to the University through the Research Centre as:

- i. The Committee is satisfied at the successful completion of Viva-Voce and the Research Scholar shall continue the research work. OR
- ii. The Committee indicates the deficiencies in specific areas in which the Research Scholar needs strengthening of knowledge and suggesting a date preferably within the next three months for re-examination.
- iii. If the Doctoral Committee does not recommend the continuation of research work by the Research Scholar even after the second attempt, the provisional registration of the Research Scholar shall stand cancelled automatically.

23Ph.D.16 Confirmation of Ph.D. Registration

23Ph.D.16.1 After the successful completion of coursework (Part-I) and the Comprehensive Viva-Voce (Part-II), the Doctoral Committee shall recommend to the University for issuance of notification to the Research Scholar on Confirmation of Registration.

23Ph.D.16.2 Issue of Notification

- i. The University shall issue a notification within fifteen days from the date of receipt of the communication from the Doctoral Committee.
- ii. The Notification shall specify the date from which the Research Scholar's registration for the Ph.D. programme is confirmed.

23Ph.D.17 Open Seminars

23Ph.D.17.1 Mandatory Pre-Ph. D. Seminars to be given

- i. Prior to the submission of the Synopsis (required under Part-III), each Research Scholar shall give two Pre-Ph.D. presentations, commonly known as, open seminars at the Research Centre.
- ii. These Seminars shall be open to all the faculty members and research scholars and



arranged with the object of getting feedback and comments/suggestions from them, for being suitably incorporated into the Ph.D. Thesis, under the advice of the Research Supervisor/Co-Supervisor.

23Ph.D.17.2 Pre-Submission Colloquium

- i. The Research Scholar shall also present a pre-submission colloquium before the Doctoral Committee, demonstrating his/her preparedness to submit the Synopsis to the University.
- ii. The Research Scholar shall be free to submit the Synopsis to the University at this stage, together with the recommendations of the Doctoral Committee on the Open Seminars and the Pre-Submission Colloquium of the Research Scholar, if both of them are satisfactory.
- iii. However, if the performance of the Research Scholar in the Pre-Submission Colloquium is not satisfactory, the Doctoral Committee may point out the deficiencies, if any and ask the Research Scholar to repeat the Colloquium once more within three months. And, only on satisfactory performance at this stage, the Doctoral Committee shall be free to permit the Research Scholar to submit the Ph.D. thesis.

23Ph.D.17.3 Permission for Submission of Thesis

Considering the research work of the Research Scholar, his/her performance in the pre-submission colloquium and other technical aspects, the Doctoral Committee shall be free to permit the Research Scholar to submit the Thesis.

23Ph.D.17.4 Anti-Plagiarism Check and Submission of the Thesis

- i. The Research Scholar's thesis shall undergo plagiarism check as per the norms of the University.
- ii. The plagiarism shall be checked by software approved by University and the percentage of plagiarism (similarity Index) shall be as permitted by University owing to software limitation to identify the self-written research papers and definitions and common theory.
- iii. The acceptable similarity index must be less than or equal to 25%.
- iv. The Research Scholar may be given two more chances by the University to re-submit the thesis for plagiarism checking, if the plagiarism level is found unacceptable i.e. $\geq 25\%$.
- v. Suitable fees shall be charged to the Research Scholar by the University for Plagiarism checks conducted.



23Ph.D.18 Publication Requirements

23Ph.D.18.1 Mandatory Publications

- i. Each Research Scholar shall publish minimum of one (01) research paper in Quartile Indexed Journals: Q1-Q3 based on his/her research work for the Ph.D. Degree, prior to the Pre-Submission colloquium and produce evidence for the same, to the DC, in the form of reprint or acceptance letter/s from the Publisher(s) of the Journal.
- ii. Each published paper should have the Research Scholar and Research Supervisor names cited, to satisfy the above clause and to be considered as eligible for submission of thesis.
- iii. The Research Scholars shall also furnish DOI/ORCID/Google Scholar ID along with the reprint of published papers or acceptance letter/s from the Publisher(s) of the Journal.

23Ph.D.19 Validity Period of Registration

23Ph.D.19.1 Maintenance of Registration

During the period when the registration of the Research Scholar is in force, the Research Scholar shall pay the prescribed tuition and other fees to the University/Research Centre at the notified time intervals

23Ph.D.19.2 Minimum Period for Submission of Thesis by Full-Time/Part-Time Research Scholars

Full-Time/Part-Time Research Scholars for the Ph.D. Degree, shall be normally eligible for submission of the thesis after a minimum period of three years from the date of provisional registration, subject to fulfillment of all the prescribed requirement.

23Ph.D.19.3 Maximum Period for Submission of Thesis by Full-Time/Part-Time Research Scholars

- i. The maximum period for submission of the Ph.D. Thesis by Full-Time/Part-Time Research Scholars including those upgraded to the M. Tech./M. Arch. + Ph.D. Integrated programmes, shall be six years from the date of provisional registration.
- ii. But the Vice Chancellor shall have the powers to extend the maximum period of two (2) years for submission of the Ph.D. thesis by such a Research Scholars on the specific recommendations of the Doctoral Committee forwarded through the Research Centre, Provided, however, the total period for submission of the Ph. D. thesis should not exceed Eight (8) years from the date of Pre-Registration.
- iii. The decision of the Vice Chancellor in this regard shall be final.



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- iv. In the case of failure of the Research Scholar to submit the thesis even after the extended period, the registration shall be cancelled, after issuing a show-cause notice to the Research Scholar.
- v. The University shall give special consideration to women and persons with disability (>40% disability) and give further relaxation of up to two years if the Research Scholars request for the same. Provided, however, the total period for submission of the Ph. D. thesis should not exceed Ten (10) years from the date of Pre-Registration.
- vi. In addition, women Research Scholars shall avail of Maternity Leave/Child Care Leave of upto 240 days once during their Ph.D. programme.

23Ph.D.20 Part III: Submission of Synopsis and Thesis

23Ph.D.20.1 Eligibility

- i. Upon qualifying successfully in the Coursework (Part-I) and the Comprehensive Viva-Voce (Part-II) and satisfactory research progress followed by Pre-Submission Colloquium, the Research Scholar shall be ready to submit the Research work to the Doctoral Committee.
- ii. The Doctoral Committee after considering the progress made by the Research Scholar may recommend the Research Scholar to take steps to submit to the University the Synopsis first, followed by the Thesis within the validity period.

23Ph.D.20.2 Submission of Synopsis

- i. At least three months prior to the submission of the thesis, the Research Scholar shall submit a Synopsis of the thesis in English language only, except for the Faculty of Languages. The Synopsis shall be in the standard format prescribed by the University.
- ii. It shall be submitted to the University through the Research Centre concerned in two hard copies and one soft copy together with:
 1. Application for adjudication of the thesis.
 2. Certificate from the Research Supervisor(s) stating the Research Scholar's fulfillment of various requirements specified under 23Ph.D.15 to Ph.D-19.
 3. The certificate shall also state that there is *prima facie* case for thesis submission at this stage and that the thesis does not contain any work previously submitted for any award of the degree anywhere.
- iii. It shall be ensured by the Research Supervisor(s) that "The thesis is based on the individual, original work of the Research Scholar which is previously unpublished



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research work” by obtaining a suitable undertaking from the Research Scholar.

- iv. The Research Supervisor(s) shall also ensure that the thesis shall not contain any material infringing on the copyright of any individual/organization and does not hurt the sentiments of any individual or religion.
- v. It shall be ascertained by the Research Supervisor(s) that information such as text, tables, equations, diagrams, figures, charts, graphs, photographs taken from various sources has been cited appropriately by the Research Scholar in the thesis. Further, the Supervisor(s) shall also certify that the opinions expressed or implied in the thesis shall be entirely of the Research Scholar.
- vi. There shall also be a Certificate from the Research Centre that there are no arrears/dues from the Research Scholar up to the date of submission of the thesis.

23Ph.D.20.3 Submission of the Thesis

- i. After getting the clearance from the University in this regard, the Research Scholar shall submit two hard copies and one soft copy of the Ph. D thesis based on the research work conducted in the prescribed format to the Research Centre within three months from the date of submission of the Synopsis.
- ii. The Research Centre shall forward *two* hard copies and *one* soft copy of the thesis to the University for taking further steps on it.
- iii. In case the Research Scholar is unable to submit the thesis within *three* months from the date of submission of the Synopsis, he/she shall be free to seek extension of time from the VC supported by the recommendations of the Research Supervisor(s) and the Doctoral Committee, forwarded through the Research Centre.
- iv. The Research Scholar shall also pay the prescribed thesis fees to the University and produce the ‘No Dues Certificate’ from the Research Centre while submitting the thesis.

23Ph.D.21 Adjudication of Ph.D. Thesis

23Ph.D.21.1 Panel of Adjudicators

The period of three months between the submissions of Synopsis and the Thesis by the Research Scholar shall be used by the University for deciding the panel of adjudicators.

23Ph.D.21.2 Selection of Adjudicators

- i. The Research Centre shall arrange to forward to the University the proposed panel containing details of *twelve* experts (not below the rank of Associate Professors) from Other Universities including Foreign Universities/Institutions, IITs, IISc, NITs, IIMs, RECs, Central Universities and Ranked (NIRF)/Accredited Institutions



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or National Laboratories and National Research Organizations for adjudication of the thesis as approved by the Doctoral Committee. This list shall be forwarded to the University along with the Synopsis. The proposed panel of adjudicators shall include *six* experts from outside the University and other *six* experts from outside the state of Karnataka/India.

- ii. The complete postal address, e-mail ID, Telephone and fax numbers, the broad area of specialization and latest publications of each adjudicator shall also be provided in the panel submitted.
- iii. The Vice Chancellor shall choose two adjudicators from the suggested panel for adjudication of the thesis, with at least one being from outside the state of Karnataka/India of National Importance such as IITs, IISc, NITs, IIMs, RECs, Central Universities and Ranked (NIRF)/Accredited Institutions or National Laboratories and National Research Organisations and send invitation letters to them along with a copy of the Synopsis in each case.
- iv. Their acceptance shall be preferably obtained within one month from the date of invitation, before taking any further steps on the subject.

23Ph.D.21.3 Appointment of Adjudicators to Evaluate the Thesis

- i. The University shall arrange for the thesis to be evaluated by the Research Supervisor (and jointly by the Co-Supervisor, if any) and two more Adjudicators identified as per Ph. D- 21.2 (iii) and (iv).
- ii. The three adjudicators as in (i) above shall be appointed by the Vice Chancellor to adjudicate the thesis submitted by the Research Scholar.

23Ph.D.21.4 Dispatch of Copies of Thesis to Adjudicators

- i. The University shall send a soft copy of the thesis to each adjudicator for evaluation, with a request to evaluate the thesis and send the evaluation report(s) preferably within a period of two months.
- ii. If the Report is not received from the Adjudicator(s) within this period, a reminder to that effect shall be sent to the Adjudicator(s) concerned.
- iii. If any adjudicator does not send the report even after the reminder or does not reply to the communications from the University, the Vice Chancellor shall identify and appoint another adjudicator either from the panel or outside the panel under special circumstances.

23Ph.D.21. 5 Receipt of Thesis Reports at the University

- i. All the adjudicators shall evaluate the thesis and send their reports (along with filled in format supplied by the University) independently to the Registrar (Evaluation).



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- ii. The Reports shall include:
1. A critical analysis of the work of the Research Scholar as embodied in the thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
 2. List of questions to be asked or points to be clarified if any, by the Research Scholar at the final viva-voce.
 3. A definite recommendation as to whether the thesis attains the standard for the award of Ph.D. degree or not.

The Adjudicators shall make any one of the following recommendations that the:

- a) Thesis is accepted in the present form and recommended for the award of Ph.D. degree. OR
- b) Thesis needs minor clarifications indicated in the report which need to be clarified by the Research Scholar at final Viva-Voce and it is recommended for the award of Ph.D. degree. OR
- c) Thesis needs minor corrections to be made by the Research Scholar as indicated in the report, which need to be incorporated in the thesis and clarified at the final Viva-Voce and it is recommended for the award of Ph.D. degree. OR
- d) Thesis needs major corrections as indicated in the report and the revised thesis to be referred back to the adjudicator concerned for fresh evaluation. OR
- e) Thesis is rejected for the reasons specified in the report and not recommended for award of Ph.D. Degree.

23Ph.D.21. 6 Consideration of Thesis Reports

On receiving favorable recommendations from all the adjudicators, including the Research Supervisor(s), the Registrar (Evaluation) shall convey the same to the Research Supervisor(s) along with copies of the Reports received and request to conduct the final Viva-Voce of the Research Scholar.

23Ph.D.21. 7 Scheduling of Final Viva-Voce

- i. The composition of the Viva-Voce Board shall be as specified under 23Ph.D.4.4
- ii. The date/time of the Viva-Voce shall be fixed by the Research Supervisor(s) in consultation with the other member(s) of the Board, the Research Centre and the University.
- iii. In case, the identified Adjudicator informs in writing his/her inability to be physically present at the Viva-Voce, however the adjudicator is ready to conduct Viva-Voce in on-line mode, the Research Supervisor(s) shall intimate the same to the Registrar (Evaluation) and proceed to conduct the final Viva-Voce in on-line



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mode.

- iv. The Research Scholar shall provide clarification(s) to all the queries of the adjudicators satisfactorily at the time of Viva-Voce.
- v. In case, the identified Adjudicator informs in writing his/her inability to be present either physically or on-line mode, the Research Supervisor(s) shall intimate the same to the Registrar (Evaluation) who shall get another Examiner from the panel of Examiners appointed after approval by the Vice-Chancellor. Further the Research Supervisor(s) shall proceed to conduct the Viva-Voce as per clause (ii) and (iii) above.

23Ph.D.21. 8 Rejection of Thesis, based on Negative Reports

- i. If both the external adjudicators (other than the Supervisor(s)) do not recommend the Research Scholar for the award of the Ph.D. degree as per the clause 21.5(ii) (3) (e), the thesis shall be rejected.
- ii. It shall be open for the Research Scholar to seek registration for this degree at the University, afresh, if required.

23Ph.D.21. 9 Appointment of Additional Adjudicator, if necessary

- i. The Thesis shall not be accepted for award of the degree if any one of the Adjudicators (other than the Research Supervisor(s)) finds that the research work is not up to the expected standard, as given in his/her report along with detailed reasons for the same.
- ii. In such a case, the Report shall be considered by the Doctoral Committee concerned to decide on the need to appoint an additional adjudicator.
- iii. A fourth Adjudicator shall be appointed by the University from the panel, based on this decision, who shall be invited for this purpose, by following Ph.D. 21.2.
- iv. If the fourth Adjudicator, after evaluating the thesis gives a favorable Report, the Registrar (Evaluation) shall initiate further steps as per Ph.D. 21.5, 21.6 and 21.7.
- v. If the fourth Adjudicator also does not approve the thesis, then the thesis shall be rejected as Ph.D. 21.8.
- vi. However, it shall be open for the Research Scholar to seek Ph.D. registration at the University, afresh, if required.

23Ph.D.22. Conduct of Final Viva-Voce

23Ph.D.22. 1. Procedure for Final Viva-Voce



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- i. The final Viva-Voce shall be conducted by the Viva-Voce Board as per 23Ph.D.4.4 at a venue approved by the University, which shall, normally be the Research Centre in which the research work was carried out or the University.
- ii. The procedure for conducting the Viva-Voce shall be as follows:
 - a) The Research Supervisor(s) shall fix the date/time and venue for the Viva-Voce in consultation with the adjudicator identified by the University, with an intimation to the Research Scholar and the Registrar (Evaluation).
 - b) The Research Supervisor(s) shall invite the head of the Research Center, members of the teaching staff and other research scholars to attend the Viva-Voce. The Research Scholar shall make a brief presentation of the research work carried out highlighting the important findings/conclusions. After the completion of the presentation, the Research Supervisor(s) shall give opportunity to the invitees to seek clarifications, if any, from the Research Scholar.
 - c) After this, the Board only shall examine the Research Scholar to test his/her understanding of the subject matter of the thesis and seek answers to the written queries by the adjudicators in the Thesis Evaluation Reports, if any. The Research Scholar shall be required to produce all the documents, data and analysis in support of the research work presented in the Thesis.
 - d) On completing the Viva-Voce, the Board shall submit a report (in the format supplied by the University) to the Registrar (Evaluation) indicating clearly whether the performance of the Research Scholar was satisfactory and if so, giving specific recommendation for the award of the Ph.D. degree to the Research Scholar.
 - e) In case, the performance of the Research Scholar is not satisfactory, the Board shall report accordingly, giving reasons for the same and recommending another Viva-Voce to be conducted after three months. The University shall arrange another Viva-Voce as required, with the composition of the Board unchanged.

23Ph.D.22.2 Consolidated Report

- i. After successful completion of the Viva-Voce, the Viva-Voce Board shall prepare and forward the Consolidated Report along with duly corrected (if any) versions of both the hard and the soft copies of the thesis through the Research Centre to the University.
- ii. Then the University with the approval of its authorities shall award the Ph.D. degree to the Research Scholar by issuing the notification.

23Ph.D.22.3 Handling issues about the research work.

If the university receives any complaints either from the adjudicator(s), or any individuals



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or any other sources about the research work of any of the research scholar belonging to any of the research center of the university, an expert review committee shall be constituted by the Vice-chancellor to look into the matter.

The composition of the research complaints review committee is as follows:

- a. Dean of the research/Dean of the University - Ex-officio Chairman
 - b. Internal Domain Expert not below the rank of Professor - Member
 - c. External Domain Expert not below the rank of Professor - Member
 - d. Registrar Evaluation - Member Convener
- i) Registrar Evaluation shall place all the records of the Research Scholar along with the complaints about the Thesis in front of the above committee.
 - ii) The committee shall go through all the records to find out the allegations in respect of any issues about the Research Work and communicates its observations in ½ to one page along with its recommendation as below:
 - a) Resubmission and conduction of final viva voce incorporating suggested changes with external adjudicators.
 - b) Reconduct of final viva voce with external adjudicator(s)
 - c) Rejection of Thesis

23Ph. D. 22.4 Handling of plagiarism issues

- i. The Vice-Chancellor shall have the powers to constitute Expert Committees to investigate into plagiarism issues connected with any Ph.D. thesis submitted to the University, in the case of receipt of complaints either from the adjudicator(s), other individuals or any other sources.
- ii. In the event of a thesis being proved to be copied, plagiarized or misrepresented academically, the University shall have the powers to rescind the degree. Such a Research Scholar shall not be eligible to register for any degree programme at the University in the future.

23Ph.D.23 Award of Ph.D. Degree

23Ph.D.23.1 Degree Certificates

- i. Upon the recommendation by the **Provisional Degree Certificate Recommendation committee (Ph.D. 4.5 (iii))** and subsequent approval of the



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- Vice Chancellor, the University shall issue a Provisional Ph.D. degree (PDC) certificate to the Research Scholar certifying that the degree has been awarded in accordance with the “Sharnbasva University Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) – 2023”.
- ii. The PDC issued by the University as above is subject to the ratification by the AC and BoM.
 - iii. The University shall award the Ph.D. degree certificate to the Research Scholar during the forthcoming Convocation.
 - iv. In the case of Research Scholars for the Integrated Ph.D. Degrees, there shall be a specific mention in the Certificate that the Degree conferred is an M.Tech.+ Ph.D./ M. Arch.+ Ph.D./ M.Sc.+Ph.D./ MBA.+Ph.D./ M.Com.+Ph.D. /MCA.+Ph.D./ M.A.+Ph.D., etc Integrated Degree as the case may be.
 - v. The University shall hold the *Copy Right* of all the Theses after conferring the Ph.D. degree.

Ph.D. – 23.2 Degree in advance

The Sharnbasva University issues Degree Certificate to all its eligible Research Scholars after the date of annual Convocation, but under certain circumstances it may be issued in advance prior to the annual convocation with the approval of competent authority. For details refer Sharnbasva University Regulations Governing the Degree of Doctor of Philosophy (Ph.D.) – 2022 (Annexure – I).

23Ph.D.24 Depository with UGC and the University 23Ph.D.24.1 Submission to UGC

- i. Following the successful completion of the evaluation process and announcement of the award of the Ph.D degree, the University shall submit a final (duly corrected if any) soft copy of the Ph.D. thesis to the UGC within a period of thirty days from the award of the Ph.D. degree in the Convocation, for hosting the same on its Information and Library Network (abbreviated as INFLIBNET), accessible to all the Institutions / Universities.
- ii. The University shall also maintain a repository of such Ph.D. Theses in its Library.

23Ph.D.25 Prohibitions

23Ph.D.25.1 Prohibition of Statutory Officers from Ph. D. Registration

The Statutory Officers of the University shall not be permitted to register for the Ph.D. degree of the University during the period of their tenure at the University.



23Ph.D.25.2 Prohibition of Research Scholars from Registering for any other Degree

No Ph.D. Research Scholar of the University shall be permitted to pursue any other degree programme within the University or at other Universities / Institutions, concurrently with his/her on-going registration as a Research Scholar for the Ph.D. degree.

23Ph.D.26 Repeal and Savings

- i. Notwithstanding anything contained in these Regulations, the provisions of any guidelines, orders, rules or regulations in force at the University shall be inapplicable to the extent of their inconsistency with these Regulations.
- ii. The University shall issue such orders/instructions, and prescribe such format/procedure, as it may deem fit to implement the provisions of these Regulations.

23Ph.D.27 Interpretation

- i. Any question as to the interpretation of these Regulations shall be decided by the University, whose decision shall be final.
- ii. The University shall have the powers to issue clarifications to remove any doubt, difficulty or anomaly which may arise during the implementation of the provisions of these Regulations.

23Ph.D.28 Jurisdiction

All the legal disputes arising if any concerned to these regulations governing the degree of Doctor of Philosophy Ph.D. 2023 are subject to Kalaburagi jurisdiction only.



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University



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UGC Status : Letter No. F.8-29/2017(CPP-I/PU), Dated 20 Dec. 2017. Enlisted by the University Grants Commission, New Delhi, in the list of Private Universities in India. A Private University enacted by Govt. of Karnataka as "Sharnbasva University Act 2012"Karnataka Act No. 17 of 2013. Notification No. ED 144 URC 2016 dated 29/07/2017



His Holiness Vidya Bhandari

Poojya Dr. Sharnbaswappa Appa

8th Mahadasoha Peethadhipati,
Sharnbasveshwar Samsthan

President, Sharnbasveshwar Vidya Vardhak Sangha
Chancellor, Sharnbasva University, Kalaburagi