

Ph.D. REGULATIONS (2016)



**KALASALINGAM ACADEMY OF RESEARCH AND EDUCATION
(DEEMED TO BE UNIVERSITY)**

(Under Section 3 of the UGC Act 1956. Accredited by NAAC with "A" Grade)

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1. Research Boards:

1.1. University Research Board

The University Research Board (URB) is constituted to formulate the research vision for all the departments in the University and to supervise the research activities of the University. Also, the URB formulates policies and guidelines for the Ph.D. programme and allocation of funds for Research.

The members of the URB are:

- | | |
|------------------------------|---------------|
| ➤ Vice-Chancellor | - Chairman |
| ➤ Director (R&D) | - Secretary |
| ➤ Director (Academic) | - Member |
| ➤ Director (Student Affairs) | - Member |
| ➤ Director (IQAC) | - Member |
| ➤ External Experts | - Two Members |

1.2. Department Research Committee

The Department Research Committee (DRC) ensures the implementation of the research plan of the department. It also involves in the selection of candidates to pursue Ph.D. course, allocation of research supervisors to the candidates and monitoring the research progress of the research scholars in the department.

The DRC consists of the following members:

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|--------------------|---|
| ➤ Chairman | - Head of the Department / Senior Faculty |
| ➤ Internal Members | - Two experts from within the department |
| ➤ External Members | - Two experts from National level institutions. |

2. Eligibility Criteria:

S.No	Programme	Qualification
1.	Ph.D. Degree in Engineering and Technology.	M.E/M.Tech./M.S. (By Research) or equivalent degree in the relevant branch of Engineering / Technology with 55% marks in aggregate or equivalent grade in U.G. and P.G.
2.	Ph.D. Degree in Science and Humanities.	M.Sc/M.C.A./M.A./M.S. (By Research) or equivalent degree in the relevant branch of Science and Humanities with 55% marks in aggregate or equivalent grade in U.G. and P.G.
3.	Ph.D. Degree in Management Studies.	MBA/M.S (By Research) or equivalent degree in the Management Studies with 55% marks in aggregate or equivalent grade in U.G and P.G.
4.	Ph.D. Degree (Integrated programme) in any discipline	M.Phil. with the completion of four course work papers ($\geq 55\%$ marks in aggregate or equivalent grade). <i>(Candidates from Kalasalingam Academy of Research and Education who have obtained their M.Phil. Degree / whose thesis evaluation has been completed (pending viva-voce) are eligible to proceed for Ph.D. degree under this category)</i>
5	Ph.D. Degree in Architecture	U.G and P.G in Architecture with 55% marks in aggregate or equivalent grade.

- All degrees must be obtained from AICTE/UGC approved Institutions.
- For SC/ST/OBC (non-creamy layer) /PWD candidates and also candidates who had obtained their Master's degree prior to September 19, 1991, a relaxation of 5% of marks (i.e., 55% to 50%) or an equivalent relaxation of grade may be allowed.

3. Programme Duration:

S.No.	Categories	Min. (Yrs.)	Max. (Yrs.)
1.	For all categories of Ph.D. including course work period (except integrated)	3	6
2.	Ph.D. (Integrated programme)	2	6

- The maximum duration may be extended for a year under utmost condition with justification if the DRC recommends and the URB deems it fit.
- A relaxation of 2 years may be given to women / PWD (>40% disability) candidates.
- Maternity / child care leave of 240 days may be provided to women candidates (once in the entire duration of Ph.D.).

4. Admission Procedure:

The candidates desirous of registering for the Ph.D. degree programme should apply in the prescribed application form along with the registration fee.

- Application may be submitted at any point of time.
- Submitted applications will be scrutinized by the DRC and suitable candidates will be called for entrance test and personal interview.
- Entrance test and personal interview will be conducted by the DRC in January/July every year for selection of research scholars. Based on the performance in both the entrance test and interview, the successful candidates shall be short listed by the DRC.
- Minimum score required in the Entrance test to qualify for personal interview is 50%. The syllabus of the Entrance Test consists of 50% research methodology and 50% subject specific. During the personal interview with DRC members, the candidates need to present their proposed research.
- The University may exempt or decide separate terms and conditions for Ph.D. Entrance Test for those students who qualify UGC-NET (including

JRF) / UGC-CSIR NET (including JRF)/ SLET/ GATE/ CAT teacher fellowship holder or have passed M.Phil programme.

- The number of available research supervisors, availability of vacancies with them and details of Ph.D. registered students are available in the University website / Office of Research and Development / Individual Department.
- The University shall adhere to the National/State-level reservation policy, as applicable.

5. Allocation of Research Supervisors:

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

- The regular (full-time) Professors of Kalasalingam Academy of Research and Education with at least five research publications and the Associate / Assistant Professors (with Ph.D.) of Kalasalingam Academy of Research and Education with at least two research publications in refereed journals are recognized as research supervisors, to supervise Ph.D. scholars. Further, they must have published at least one paper in a SCOPUS indexed journal after obtaining their Ph.D. degree demonstrating independent research.
- No external Supervisors are allowed to supervise; however, they can act as Co-supervisors, if necessary, based on the areas of research after the approval of DRC. Faculty from other departments of Kalasalingam Academy of Research and Education or from other related institutions can act as Co-supervisors.
- The allocation of Research Supervisor for a selected research scholar shall be decided by the DRC.
- Maximum number of Ph.D. scholars per faculty at any point of time:
 - ❖ Professor - 8
 - ❖ Associate Professor - 6
 - ❖ Assistant Professor - 4
- If a faculty acts as a Co-supervisor, the load will be considered as half per candidate.

- Under special circumstances the Vice-Chancellor may permit additional research scholars for a supervisor and the same has to be ratified by the URB/Board of Management.

6. Registration:

The selected candidate has to register and pay registration fee prescribed by the University every semester till the submission of the thesis.

7. Course Work:

Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.

The DRC shall meet within three weeks from the date of communication of provisional registration of candidates to prescribe the course work.

7.1. Credit requirement

A research scholar shall undergo a course work consisting of four papers with a total of not less than 12 credits. The courses may be chosen from the available PG level courses offered by this University. The supervisor can also prescribe additional subjects wherever found necessary. Courses designed by the supervisor have to be approved by the DRC. The scholar should not have successfully completed the same subjects in his/her P.G course. Also the subjects should be relevant to the area of research.

The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be of advanced level preparing the students for Ph.D. degree.

7.2. Duration

All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the DRC during the initial one or two semesters which, under special circumstances, is extendable by a semester on the recommendation of the DRC (Course work is exempted for those who have completed the same during their M. Phil. in Kalasalingam Academy of Research and Education).

7.3. Marks / Grade of Course work

A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade prescribed by the University within the stipulated period in order to be eligible to continue in the programme and submit the dissertation/thesis.

8. Comprehensive Oral Examination (Viva-Voce):

On successful completion of the course work, the DRC will conduct a comprehensive oral examination.

Based on the performance of the candidate in the comprehensive oral examination, the committee will decide either to permit the candidate to proceed his research work or to reappear for the same again.

Subsequently, those who have not successfully completed the comprehensive examination shall be permitted to re-appear for the same within six months from the completion of the first attempt. If the performance is still unsatisfactory, his/her registration will then be cancelled.

9. Functions of Department Research Committee:

Members of DRC and general responsibilities are furnished in section 1.2. Further specific functions include the following:

- A research scholar has to appear before the DRC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
- The six-monthly progress reports must be submitted by the DRC to the Office of Research and Development with a copy to the research scholar.
- In case the progress of the research scholar is unsatisfactory, the DRC has to record the reasons for the same and suggest corrective measures.
- If the research scholar fails to implement the corrective measures, the DRC may recommend to the University with specific reasons for cancellation of the registration of the research scholar.
- If a research scholar does not appear for the review without any valid reason, caution may be given by the DRC.
- If a research scholar does not appear for two review meetings consecutively, the DRC has rights to recommend for cancellation of his/her registration and subsequently, his/her registration will be cancelled.

10. Evaluation and Assessment Methods & Minimum Standards / Credits for Award of the Degree, etc.:

10.1. Synopsis Submission

- A research scholar shall be permitted to submit synopsis if he/she has at least three papers (either published or accepted) in SCOPUS indexed journals/ conference proceedings (SCOPUS indexed), with at least one of them under the category of SCI Journals with Impact factor.
- Prior to the submission of synopsis, the scholar shall make a presentation of complete doctoral research work in the Department before the DRC which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft thesis in consultation with the DRC.
- After satisfying the above criteria / incorporation of comments, three copies of the synopsis (PDF format) in addition to an e-copy of the same shall be submitted to the Office of Research and Development.

10.2. Panel of Examiners

While submitting the synopsis, the research supervisor shall submit a panel of six external examiners; consisting three of them from within the country while the other three from abroad. The Vice-Chancellor shall consider these names and constitute a Board of two external examiners (one each from the above categories). Besides, the Vice-Chancellor may also nominate the examiners from outside the panel if deems it necessary. The research supervisor also, by default, acts as one of the examiners in addition to the above.

10.3. Plagiarism Screening

Prior to the submission of thesis, the complete work has to be subjected to plagiarism check with the facility ‘*ithenticate*’ available at the Office of Research and Development or any other facility equivalent to the same. Further, while submitting the thesis for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

If a research scholar is found to have been involved in acts of plagiarism, after thorough enquiry by a committee appointed by the VC/URB, his/her research registration shall be terminated and also he/she shall be debarred to register for any other programme in the university. Further the recognition of the concerned research supervisor shall be withdrawn, if the supervisor is found guilty.

10.4. Thesis Submission

Three copies of the thesis along with an e-copy prepared in accordance with the format and specification prescribed shall be submitted. Thesis shall be submitted within three months from the date of approval of the Synopsis by the DRC.

Under extraordinary circumstances, submission of thesis shall be permitted upto a maximum period of six months with prior approval from the Director (R&D). In such cases, the late fee shall be paid as applicable.

10.5. Thesis Evaluation

The Ph.D. thesis submitted by a research scholar shall be evaluated by two external examiners (one from within India and the other from abroad), constituted by the Vice-Chancellor. Both the examiners shall send their reports to the Director (R&D) by name. In addition, the examiners shall also send the report by e-mail to the Director (R&D).

The external examiners will send their evaluation reports in the prescribed format within two months from the date of receipt of the thesis.

The external examiners will include in their report an overall assessment placing the thesis in any one of the following categories:

- i. Recommend the acceptance of the thesis in the present form and further based on the standard attained, classify the work as **HIGHLY COMMENDED / COMMENDED**.
- ii. Recommend the acceptance of the thesis. However, the scholar shall incorporate the corrections indicated in the detailed report and place the corrected copy to the Viva-Voce Examination Board but the corrected thesis need not be sent to the examiner.
- iii. Revise the thesis by incorporating the suggested modifications in the thesis and the corrected thesis along with the scholar's clarifications shall be sent to the respective examiner.
- iv. Reject the Thesis for the reasons set out in the detailed report.

10.6. Decision Based on Thesis Report

- If the external examiners send positive reports, Viva-Voce examination, may be conducted.
- Of the external examiners, if one examiner recommends award of the degree and the other examiner recommends revision, the thesis should be revised on the lines of the report of the latter who asked for revision. The revised thesis will be sent to the same examiner for evaluation, if he/she has accepts to evaluate the revised thesis. Otherwise, the revised thesis will be sent to a third examiner for evaluation along with the comments of the examiner who evaluated the thesis earlier.
- If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice-Chancellor.
- If the third examiner recommends for the award of the degree, the thesis shall be accepted. If the third examiner also recommends rejection, the thesis shall be rejected and the registration of the scholar shall be cancelled.
- If both the examiners recommend rejection, the thesis shall be rejected and the registration of the candidate will be cancelled.

Note: Once the examiner recommends “Revision and resubmission of the thesis”, the supervisor(s) shall direct the scholar to revise and resubmit the thesis within a period of one year from the date of intimation of the same. Copies of the reports of the examiners shall be made available to the candidate for carrying out the corrections.

10.7. Viva-Voce Examination

On receipt of the evaluation reports, the DRC shall meet within one month and recommend the constitution of Viva-Voce Board. The composition of the Viva-Voce Board shall be:

- i. Research Supervisor - Convener.
- ii. Head of the concerned Department/Senior Professor- Member.
- iii. One of the examiners who evaluated the thesis – Member.

The Vice-Voce Examination shall be conducted within three months from the date of receipt of reports as “Open Defence Type” Examination. The circular for the same shall be communicated to the Director (R&D)/ Faculty members/ research scholars/ other departments/ other institutions, at least one week prior to the Viva - Voce Examination.

If the Viva-Voce board declares the performance of the research scholar as not satisfactory, he/she may be asked to reappear for Viva-Voce examination not earlier than a month and not later than six months from the date of the first Viva-Voce. On the second occasion, the Viva-Voce board will be expanded by adding additional members by the Vice-Chancellor.

If the Viva-Voce board on the second occasion also evaluates the performance of the research scholar as not satisfactory, the matter will be referred to URB for final decision.

10.8. Award of Ph.D. Degree

If the performance of the research scholar in the Viva-Voce examination is satisfactory and, based on the recommendation of the Viva-Voce examination board, the Board of Management (BoM) may approve the award of Ph.D degree.

11. Change of Research Supervisor:

Change of research supervisor shall not be permitted as a matter of policy. In exceptional cases such changes may be permitted provided that,

- The research supervisor under whom the candidate has originally registered gives a “No Objection Certificate”.
- The new research supervisor gives a “Certificate of Willingness” to supervise the candidate for the remaining period of research.
- In case the “No objection certificate” is not obtainable, the case shall be considered by the URB on its merit.

- If there is a change of research supervisor and not the topic, then the date of registration will not change.

11.1. Appointment of Joint Supervisor for the Candidate whose Supervisor is on Long Leave

If any supervisor goes on leave for more than six months, it is mandatory to appoint a Joint supervisor. The Joint-Supervisor should be a regular faculty of Kalasalingam Academy of Research and Education.

11.2. Appointment of Supervisor for a Candidate whose Supervisor has Left the University

If the candidate has completed all the four course works prescribed by the DRC, published / accepted one paper, and the DRC recommends based on the progress of the research work, the candidate may be permitted to work under the same supervisor, provided the supervisor is willing to supervise the candidate. At the same time, a co-supervisor should be appointed from the University.

In case, the original supervisor is not willing to supervise the candidate or the candidate has not satisfied the above conditions, the DRC will appoint a new supervisor based on the availability of slots and the area of the research of the candidate. If there is no slot with any of the supervisors belonging to the department, the DRC may recommend a supervisor from an allied department.

12. Cancellation of Registration:

The registration of a research scholar for the Ph.D. programme shall stand cancelled under the following conditions (in addition to section 9):

- The research scholar wants to withdraw from the course.
- The registration of a research scholar has exceeded the maximum period stipulated for the Ph.D. programme.
- The research scholar has not paid the semester fees for two consecutive semesters.

- The research scholar is found to be pursuing some other degree/diploma during the research period, without approval of the DRC.
- **Re-registration:** A candidate is not eligible for re-registration for Ph.D. after cancellation of his/her earlier registration for any reason. However based on the merits of the individual case, a candidate may be considered for re-registration.

13. Power to Modify:

Notwithstanding all that have been stated above, the URB has the right to modify any of the regulations from time to time.
