



ಕರ್ನಾಟಕ ರಾಜ್ಯ ಮುಕ್ತ ವಿಶ್ವವಿದ್ಯಾನಿಲಯ
ಮುಕ್ತಗಂಗೋತ್ರಿ, ಮೈಸೂರು-570 006

ಸಂಖ್ಯೆ: ಕರಾಮುವಿ/ಡಿಎನ್ (ಶೈ)/04/2019-20

ದಿನಾಂಕ: 23-01-2020

ಅಧಿಸೂಚನೆ

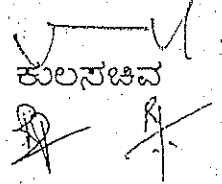
ವಿಷಯ : KSOU Degree of Doctor of Philosophy Ordinances-2012,
2nd Amendment-2019 ಅನ್ನು ಅಧಿಸೂಚನೆಗೊಳಿಸುವ ಬಗ್ಗೆ.

- ಉಲ್ಲೇಖ : 1. ಕರಾಮುವಿ ಪಿ.ಹೆಚ್.ಡಿ. ಅಧ್ಯಾದೇಶ 2012 ದಿನಾಂಕ: 13.08.2012
2. ಯು.ಜಿ.ಸಿ. ಪಿ.ಹೆಚ್.ಡಿ. ನಿಯಮಾವಳಿ 2016 ದಿನಾಂಕ:05.05.2016
3. ಕರಾಮುವಿ ಪಿ.ಹೆಚ್.ಡಿ. ಅಧ್ಯಾದೇಶ 2012 1st Amendment-2018
ದಿನಾಂಕ: 17.11.2018
4. 53ನೇ ಶೈಕ್ಷಣಿಕ ಮಂಡಳಿಯ ಅನುಮೋದನೆ ದಿನಾಂಕ: 26.12.2019
5. 159ನೇ ವ್ಯವಸ್ಥಾಪನಾ ಮಂಡಳಿಯ ಅನುಮೋದನೆ ದಿನಾಂಕ:02.01.2020
6. ಮಾನ್ಯ ಕುಲಪತಿಗಳ ಅನುಮೋದನೆ ದಿನಾಂಕ: 23.01.2020

* * * * *

ಕರ್ನಾಟಕ ರಾಜ್ಯ ಮುಕ್ತ ವಿಶ್ವವಿದ್ಯಾನಿಲಯಕ್ಕೆ ಸಂಬಂಧಿಸಿದ KSOU Degree of
Doctor of Philosophy Ordinances-2012, 2nd Amendment-2019 ಅನ್ನು ದಿನಾಂಕ:
26.12.2019 ರಂದು ನಡೆದ 53ನೇ ಶೈಕ್ಷಣಿಕ ಮಂಡಳಿ ಸಭೆಯ (ವಿ.ಸಂ:53.09)
ಶಿಫಾರಸ್ಸಿನೊಂದಿಗೆ ದಿನಾಂಕ: 02.01.2020 ರಂದು ನಡೆದ 159ನೇ ವ್ಯವಸ್ಥಾಪನಾ ಮಂಡಳಿ
ಸಭೆಯಲ್ಲಿ (ವಿ.ಸಂ:159.19) ಮಂಡಿಸಿ ಅನುಮೋದಿಸಿರುವ ಹಿನ್ನೆಲೆಯಲ್ಲಿ, ಸದರಿ ತಿದ್ದುಪಡಿ
ಅಧ್ಯಾದೇಶವು ದಿನಾಂಕ: 02.01.2020 ರಿಂದ ಪೂರ್ವಾನ್ವಯವಾಗಿ ಜಾರಿಗೆ ಬಂದಂತೆ
ಅನುಷ್ಠಾನಗೊಳಿಸಿ ಈ ಮೂಲಕ ಅಧಿಸೂಚನೆ ಹೊರಡಿಸಲಾಗಿದೆ.

ಆದೇಶದ ಮೇರೆಗೆ.


ಕುಲಸಚಿವ

ಪ್ರತಿ:

1. ಎಲ್ಲಾ ಶಾಸನಬದ್ಧ ಅಧಿಕಾರಿಗಳು, ಕರಾಮುವಿ, ಮೈಸೂರು.
2. ಡೀನ್(ಅ.ಕೇ), ಕರಾಮುವಿ, ಮೈಸೂರು.
3. ವಿಶ್ವವಿದ್ಯಾನಿಲಯದ ಎಲ್ಲಾ ಭೋಧಕ ವರ್ಗ, ಕರಾಮುವಿ, ಮೈಸೂರು.
4. ಮಾನ್ಯ ಕುಲಪತಿಗಳ ವಿಶೇಷ ಅಧಿಕಾರಿಗಳು, ಕರಾಮುವಿ, ಮೈಸೂರು
5. ಮಾನ್ಯ ಕುಲಸಚಿವರ ಆಪ್ತಕಾರ್ಯದರ್ಶಿಗಳು, ಕರಾಮುವಿ, ಮೈಸೂರು
6. ಕಛೇರಿ ಪ್ರತಿ.

F.10m



KARNATAKA STATE OPEN UNIVERSITY

Mukthagangothri, Mysore – 570006

The Ordinance Governing the Standards and Procedures for the Award of the Degree of Doctor of Philosophy, KSOU, (Second Amendment – 2019).

PREAMBLE:

WHEREAS the University Grants Commission has framed University Grants Commission - Minimum Standards and Procedure for Award of Degree of Doctor of Philosophy (abbreviated as PhD Degree) Regulations, 2009 and suggested to adopt them in all Universities in the country;

WHEREAS the Karnataka State Higher Education Council constituted a Committee to frame common regulations for conducting PhD Programme in Universities in the State according to the UGC Regulations mentioned above;

WHEREAS the said Committee suggested draft regulations to govern the PhD Degree and this University considered the same;

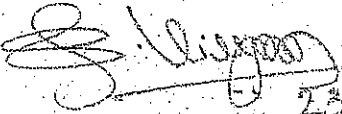
WHEREAS the matters relating to admission of students, the course of study, the award of degrees, come under the scope of Ordinances under Section 24 (1) (a) of the Karnataka State Open University Act, 1992 and the scope of Regulations provided in this University Act;

WHEREAS it is also provided in Section 24 (2) of this University Act that the first Ordinances shall be made by the Chancellor with the previous approval of the State Government;

WHEREAS the University has the First Ordinances as approved by the Chancellor on 17.08.2004, wherein, it is provided that the Board of Management may make Ordinances in the manner as provided therein through amendments. Accordingly, PhD Ordinance 2012 is amended by adopting the latest guidelines of the UGC (Minimum Standards and Procedure for Award of M. Phil./PhD Degrees) Regulations, 2016. Hence, The Ordinance Governing the Standards and Procedures for the award of the Degree of Doctor of Philosophy, 2018 was adopted.

Whereas further refinement in the said Ordinance was necessitated and changes have been incorporated and The Ordinance Governing the Standards and Procedures for the Award of the Degree of Doctor of Philosophy, KSOU, (Second Amendment – 2019) is hereby adopted.

VI 23/01/2020
REGISTRAR
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.


23/01/2020

VICE-CHANCELLOR
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.

In exercise of powers conferred under Statues (pertaining to the manner in which ordinances are to be made) read with Section 24(1) (A) of The Karnataka State Open University Act, 1992,

The Vice-Chancellor and the Board of Management amend and approve the following Ordinance.

Salient Features

01. Admissions shall be based mainly on the entrance test and an Assessment Interview duly following the merit-cum-reservation policy of the State Government.
02. Only the predetermined number of students shall be admitted to the programme.
03. Allocation of Research Supervisors for selected students shall be decided by the academic department concerned in a formal manner depending on the number of research vacancies available in the department. Further, the allotment shall be made considering the available specialisations among the Research Supervisors and the student's research interests as indicated by the student during the interview.
04. The selected student has to undertake mandatory Course Work which is a prerequisite for Pre-PhD preparation.
05. Research work may be carried out either on a full-time basis or part-time basis in regular mode only. PhD programme is not offered in the distance education mode.
06. The Thesis shall be adjudicated by a Board of Adjudicators consisting of three examiners including the Research Supervisor, out of which preferably one shall be from outside the state/country.

01. Title and Commencement

- 1.1 This Ordinance shall be called as The Ordinance governing the Standards and Procedures for the Award of the Degree of Doctor of Philosophy, (Second Amendment 2019).
- 1.2 These Ordinances shall come into the force from the date on which they are approved by the Vice-Chancellor and the Board of Management of the University.
- 1.3 The Dean (Academic) shall be responsible for conducting the PhD Programme from the stage of notification for admission, monitoring the selection, research progress and other administrative procedures and issues. However, the Registrar (Evaluation) shall be responsible for the evaluation and the award of PhD degree.

23/01/2020
REGISTRAR
Karnataka State Open University
Mysuru-570 006.

23/01/2020
VICE-CHANCELLOR
Karnataka State Open University

02. Definitions

- 2.1 *University* means Karnataka State Open University established and incorporated under section 3 of the KSOU Act, 1992.
- 2.2 *Degree* means the Degree of Doctor of Philosophy (abbreviated as PhD).
- 2.3 *Fee* means various types of fee/s prescribed by the University for PhD Programme from time to time.
- 2.4 *Entrance Test* means the test taken by the applicants who seek to qualify themselves for registration for PhD Programme in various subject streams.
- 2.5 *Pre-registration Colloquium* means the presentation of the PhD proposal prepared by the candidate before the Research Advisory Committee to provide his/her preparedness to take up the research work.
- 2.6 *Course Work* means the mandatory courses prescribed as a part of the PhD programme and which all the candidates shall successfully complete as a pre-requisite to start the preparation of PhD Thesis.
- 2.7 *Research Supervisor* means the faculty members of KSOU recognized by University to guide research work of a candidate who fulfills the eligibility norms prescribed.
- 2.8 *Co-Supervisor* means the faculty/scientist/expert recognized by the University who fulfills eligibility as provided in section 10 and agrees to supervise the work of a candidate jointly with the Research Supervisor.
- 2.9 *Department* means the concerned Department of Studies and Research of the University/Institution where a candidate intends to work for the PhD degree either as a full-time or as a part-time candidate.
- 2.10 *Department Research Committee (DRC)* means the committee constituted by the University to select the candidates for the available research vacancies at the department level to conduct research for PhD degree.
- 2.11 *Research Advisory Committee* means the committee constituted by the University to review the research proposal, guide the scholar to develop study design and methodology and monitor the progress of the research work of a candidate.
- 2.12 *Board of Studies* means the Postgraduate Board of Studies in the subject concerned/ Joint Boards of Studies when more than one subject is involved or Interdisciplinary Board of Studies as constituted by the University.

2.13 *Interdisciplinary Board of Studies* means Board of Studies, which comes into existence when the researcher's subject in Master Degree pursued is different from that at PhD level. In such cases, the Board shall comprise of members from the two disciplinary backgrounds and Chairperson of the Board shall be from the subject in which the researcher intends to pursue his PhD Degree. If the subject at Master Degree level studied by the researcher is not offered by the University, then members representing such discipline shall be nominated from other Universities recognized by UGC.

2.14 *Research Proposal* means a brief write-up in the form of research proposal on the proposed research work which shall be submitted by the candidate along with the application (Application-B) for provisional registration for PhD programme

2.15 *Synopsis* means the final synopsis of the completed research work which shall be submitted by the candidate.

2.16 *Sponsored Candidate* means those permanent employees of an educational and/or research institution and organisation of public/private sector deputed to pursue PhD including the permanent teachers on FIP/QIP.

2.17 *International Student* means those who are foreign citizens and who have completed their master's degree or equivalent degree recognized by UGC as equivalent to post graduate degree from a recognized foreign University/Institution.

2.18 *Academic Council* means Academic Council of the University constituted under section 19 of the KSOU Act, 1992.

2.19 *Refereed/Reputed Journal* means a professional or literary journal recognized by UGC's CARE list of journals or a publication in which articles or papers are selected for publication by a panel of referees who are experts in the field.

03. Subject/Title of the Research and the Nature of Research Programme

3.1 The subject/title of the research shall normally relate to the main branch of knowledge chosen by the applicant at the level of his/her post-graduate studies.

3.2 Interdisciplinary Research: However, a candidate who is willing to take up research in a subject other than the one chosen for post-graduate degree and/or in a subject which is of an interdisciplinary nature shall also be eligible for registration as follows:

3.2.1 The candidate shall be eligible for registration provided the research topic and the proposal is recommended by the Research Advisory Committee and approved by the concerned Board of studies of the subject/discipline; wherein, he/she wants to work for

the Doctoral Degree. In this case, the Degree shall be awarded in the subject/discipline in which he/she has applied/registered for PhD Degree. Further, if the nature of research work requires, a co-supervisor from another discipline (i.e., the subject chosen by the candidate at his/her Master Degree) may be taken/opted.

3.2.2 If the candidate wants to pursue the PhD degree in the subject/discipline other than the one which he/she has chosen for post-graduate degree, then:

- A special Board comprising of the Chairperson of both the Boards of Studies and departments shall examine the proposal and decide the Department to which the application shall be sent for further processing. Once the special Board decides and sends the application to a Department, then all the research work shall be carried out in that Department under the supervision of a Research Supervisor who belong to the Department. Further, the Degree shall be awarded in the subject/discipline of the Department to which the application is sent.
- If the subject studied by the candidate at Master's level is not currently being offered by the University, then Interdisciplinary Board of Studies shall be constituted in which members representing such discipline from other Universities recognized by UGC and as well as the members belonging to the subject discipline at PhD level shall be nominated. Chairperson of the Board shall be from the University representing the subject discipline at PhD level.

3.3 There shall be two types of research engagements; one, full-time and another part-time. Part-time PhD programme is normally for the benefit of working persons such as teachers employed in post-graduate departments of the University, affiliated /constituent colleges of the University or any other Indian. University/Research Institution/ Organization, and also those working as Librarians/physical education personnel. However, there shall be no bar on others to take up the Doctoral work on part-time basis. Minimum attendance for part-time programme is one hundred days.

3.4 The employees who take up PhD programme on a full-time basis shall produce a certificate from their employee-organizations for having sanctioned study leave. Other candidates who take up PhD Programme on a full-time basis shall give an undertaking to the effect that they will not take up any job during the period of research.

3.5 Candidates who avail of any type of scholarship are required to pursue their research work on full-time basis only. Such candidates are required to be present at the Department and attendance register for such research scholars shall be maintained at the department.

04. Eligibility to apply for admission to PhD Degree Programme

4.1 Candidates applying for admission to the PhD Degree shall have a Master's degree or a professional degree (or equivalent thereto) with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale or an equivalent degree from a foreign educational institution accredited by the approved Assessment and Accreditation Agency of the home country concerned. The graduates who have passed the final examination of The Institute of Chartered Accountants of India with at least 55% marks in aggregate, are also eligible to apply.

- A person whose M. Phil. dissertation has been evaluated and the viva voce is pending may also be admitted to the PhD programme of the same institution;
- Candidates possessing M. Phil. Degree of an Indian Institution or a Foreign Institution accredited by approved Assessment and Accreditation Agency of the home country.

4.2 In the case of SC/ST/Category-1/Differently-abled applicants, and those who are appointed on a regular basis prior to 31 March 1992, as teachers, Librarians and physical education personnel in colleges and University Departments, the minimum marks shall be 50% provided they (i.e., employees) are continuing in service at the time of submission of application for registration.

Note: Relaxation for the candidates belonging to other categories shall be as per the decisions of the UGC from time to time.

4.3 If the results of the Master's Degree are declared in the form of grades/credits/cumulative grade points in their Marks Cards/transcripts, such grades/points shall be converted into a percentage to assess the minimum eligibility criteria as specified above in Regulations 4.1 and 4.2.

05. Intake

5.1 As per UGC Regulations, 2016:

- A Professor as a Research Supervisor, at any given point of time, cannot guide more than eight PhD scholars.
- An Associate Professor as a Research Supervisor, at any given point of time, cannot guide more than six PhD scholars.
- An Assistant Professor as a Research Supervisor, at any given point of time,

cannot guide more than four PhD scholars.

Details of intake of PhD scholars per Research Supervisor and reservation applicable for selection of candidates per Research Supervisor as per norms are as below.

Table 01: Allotment of candidates to the Research Supervisors

Level of the Research Supervisor	Max No. of Candidates	SC/ST/CAT-1 Candidates	OBC Candidates	Differently abled Candidates
Professor	08	Min. of 01	Min. of 01	Min. of 01
Associate Professor	06	Min. of 01	Min. of 01	-
Assistant Professor	04	Min. of 01	Min. of 01	-

5.2 Reservation shall be as per the merit list and as allotted in Table 01. The reservation shall be as per the claim made by the candidate in the application evidenced by relevant certificates/documents. After fulfilling the reservation weightage as per the above table, the remaining seats shall be allotted as per the merit list.

The seats reserved for SC and ST/ Category-1 candidates shall be interchangeable (i.e., SC vacancy shall be filled with ST/Category-1 candidate and vice-versa if there is no eligible candidate from SC or ST / Category-1). However, they shall not be transferred to the general pool. In spite of the above relaxation, the seats allotted for SC/ST/OBC non-creamy layer/differently able categories remain unfilled, University shall launch a special admission drive for that particular category within one month from the date of closure of admissions of general category.

5.3 A Research Supervisor apart from the maximum permissible number of candidates can guide one international student. This seat shall not be transferred to the general pool.

5.4 In an extraordinary circumstance, the Vice-Chancellor shall permit the Research Supervisor to guide an additional PhD candidate.

06 Notification of Vacant Seats

6.1 The University shall issue a notification inviting applications for PhD programme from the eligible candidates mentioning the number of seats available in each subject. The notification shall be issued as a press note or as an advertisement in leading newspapers and on University website once in a year, preferably in the month of June/July.

Application format along with instructions/information pertaining to the programme shall be made available on the University website.

6.2 A vacancy is created once the thesis submitted by the research scholar is accepted by the Board of Adjudicators.

07. Submission of Applications and Processing

7.1 Application A shall be submitted to the Chairperson of the concerned post-graduate department.

7.2 (a) The Chairperson of the Post-graduate Department, with the help of the faculty members of the Department shall arrange for scrutiny of applications to determine the eligibility including that of the applications which are exempted from the entrance test.

(b) Board of Examiners (BOE-PhD CET) shall be constituted and entrusted with the responsibility of setting the question papers for common entrance tests.

(c) Registrar (Evaluation) shall conduct the Common Entrance Test and announce the results on the University website.

(d) Once the results are announced, Chairperson of the concerned post-graduate department shall prepare the consolidated list of applicants, and

(e) Arrange for compulsory Assessment Interview/Viva-Voce.

7.3 Upon completion of the selection of applicants for PhD programme and Assessment Interview/Viva-Voce, the selected candidates (including those who are exempted from the entrance test) shall submit Application-B with the requisite fee to the University and along with the research proposal to the Chairperson of the concerned Post-Graduate Department. The candidate has to prepare and appear before the RAC for colloquium and subsequent provisional registration of PhD programme.

7.4 The Chairperson of the Department shall send the applications along with the recommendation of the Department Research Committee to the Chairperson of the Board of Studies for its approval. Chairperson of the Board of Studies shall return them after approval or otherwise, to the Chairperson of the Post-Graduate Department who, in turn, shall forward them to the Office of Dean for colloquium along with the details of marks allotted by individual members of the DRC and a consolidated marks list.

7.5 The provisionally registered candidates shall undergo Course Work Programme as

applicable as per 17.0

- 7.6 After the completion of the Course Work, the successful candidates shall submit Application - C to the Chairperson of the Post-Graduate Department who shall forward the same to the Office of Dean – Academic for confirmation of registration for PhD programme.

08. Entrance Test

- 8.1 All the applicants who possess at least the minimum percentage of marks at their Post-Graduate degree as specified above in regulations 4.1 to 4.3 shall appear for the entrance test.
- 8.2 However, (a) international and sponsored candidates, (b) teachers on FIP/QIP, (c) candidates who have cleared the UGC/UGC-CSIR, JRF Test/NET/GATE/GRE/K-SET or SLET/M. Phil shall be exempted from the entrance test.
- 8.3 The syllabus for the entrance test and other details pertaining to the entrance test shall be finalized/approved by the Board of Studies (PG) of the concerned departments of the University.
- 8.4 All the academic departments shall consider the following to conduct the Entrance Test.
- 8.4.1 Maximum Marks for Entrance Test: 100 (One hundred)
- 8.4.2 Nature of questions: Objective type with multiple choice answers.
- 8.4.3 Syllabus for entrance test: Research methodology and cognate/core subjects of the Post-Graduate Department.
- 8.4.4 Number of questions: Question paper for PhD entrance test shall consist of two sections: Section A shall pertain to Research Methodology consisting of 50 questions with multiple choices and Section B shall pertain to Cognate/Core subject consisting of 50 questions with multiple choices; together they constitute 100 questions, wherein, each question carries one mark.
- The syllabus of the Entrance Test shall consist of research methodology and the cognate subject equally.
 - The Entrance Test shall be conducted by the University only at the headquarters and not in any of the centres away from the main campus.

applicable as per 17.0

- 7.6 After the completion of the Course Work, the successful candidates shall submit Application - C to the Chairperson of the Post-Graduate Department who shall forward the same to the Office of Dean – Academic for confirmation of registration for PhD programme.

08. Entrance Test

- 8.1 All the applicants who possess at least the minimum percentage of marks at their Post-Graduate degree as specified above in regulations 4.1 to 4.3 shall appear for the entrance test.
- 8.2 However, (a) international and sponsored candidates, (b) teachers on FIP/QIP, (c) candidates who have cleared the UGC/UGC-CSIR, JRF Test/NET/GATE/GRE/K-SET or SLET/M. Phil shall be exempted from the entrance test.
- 8.3 The syllabus for the entrance test and other details pertaining to the entrance test shall be finalized/approved by the Board of Studies (PG) of the concerned departments of the University.
- 8.4 All the academic departments shall consider the following to conduct the Entrance Test.
- 8.4.1 Maximum Marks for Entrance Test: 100 (One hundred)
- 8.4.2 Nature of questions: Objective type with multiple choice answers.
- 8.4.3 Syllabus for entrance test: Research methodology and cognate/core subjects of the Post-Graduate Department.
- 8.4.4 Number of questions: Question paper for PhD entrance test shall consist of two sections: Section A shall pertain to Research Methodology consisting of 50 questions with multiple choices and Section B shall pertain to Cognate/Core subject consisting of 50 questions with multiple choices; together they constitute 100 questions, wherein, each question carries one mark.
- The syllabus of the Entrance Test shall consist of research methodology and the cognate subject equally.
 - The Entrance Test shall be conducted by the University only at the headquarters and not in any of the centres away from the main campus.

- A candidate has to secure minimum of 50 percent in the entrance examination and a relaxation of 5 percent (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (non-creamy layers)/differently-abled category.

8.4.5 Duration of Entrance Test: 120 Minutes.

8.4.6 Admission to PhD programme shall be through an Entrance Test and an Assessment Interview. Applications for admission to a PhD programme of the University through an Entrance Test shall be invited by the Office of the Dean (Academic) once a year or as and when a manageable number of vacancies arise as specified in 6.1.

8.4.7 The entrance examination, the medium of instruction, Course Work and submission of Thesis can be either in Kannada or English with the exception in case of research connected to Commerce, Management, Pure sciences and other Indian Languages.

8.4.8 For candidates intending to do interdisciplinary/ multidisciplinary research, the Entrance Test shall be a common Entrance test in a general paper and the syllabus of the paper shall be framed by interdisciplinary/multidisciplinary Board of Studies.

8.4.9 The results of the Entrance Test and the Assessment Interview shall be declared by the Registrar (Evaluation), who shall issue the marks card of the Entrance Test, and Chairperson of the Department, respectively. The marks cards of the candidates who have qualified in the examination will serve as the eligibility certificate and shall be valid for one year from the date of declaration of the result on the University website or till the next entrance test is notified, whichever is earlier.

9.0. Preparation of Merit List of Successful Candidates

9.1 After the entrance test, a consolidated merit list of all the candidates, including those who are exempted from entrance test shall be prepared as per merit cum reservation policy based on the marks obtained in the entrance test/marks obtained in the qualifying examination and in the Assessment Interview in the ratio of 70:30. However, the candidate has to secure overall 50% marks (45% for SC/ST/OBC/Category-1 and differently-abled) in the entrance test.

9.2 The compulsory Assessment Interview shall be conducted by the Department Research Committee (DRC) for candidates qualified through an entrance test and the candidates

who have qualified in UGC NET/SLET/CSIRJRF /GATE together. A consolidated merit list has to be prepared according to the state reservation policy.

The compulsory Assessment Interview/Viva-Voce shall consider the following aspects, viz., whether;

- The candidate possesses the competence for the proposed research.
- The research work can be suitably undertaken at the University.
- The proposed area of research can contribute to the existing knowledge.

The Chairperson of the Post-graduate Department shall place a request to the Chairperson, DRC, to conduct the Assessment Interview. The Chairperson of the Department Research Committee after conducting the Assessment Interview will prepare a consolidated merit list that includes both entrance test qualified candidates and candidates who have qualified in UGC NET/SLET/CSIRJRF/GATE and submit it to the Chairperson of the concerned post-graduate department.

Weightage of 70% to the common entrance test and 30% to the performance of the candidate in the Assessment Interview/Viva-Voce shall be given; similarly, weightage of 70% has to be given to Master's Degree of the candidates who have qualified in UGC NET/SLET/CSIR-JRF/GATE/M. Phil.

It should be noted that successful completion of entrance test and appearance in an assessment interview before DRC will only imply the eligibility of a candidate for admission to PhD degree in the University, but shall not guarantee admission to the PhD degree program. Candidates who do not attend the compulsory assessment interview/viva-voce are not eligible for admission to PhD programme.

9.3 The candidates who have cleared the UGC/UGC-CSIR, National Eligibility Test for Junior Research Fellowship/GATE/GRF/K-SET or SLET/M. Phil and the teachers on FIP, QIP shall be placed along with the other candidates in the consolidated merit list based on their percentage of marks secured by them at their qualifying examination and Interview in the ratio of 70:30.

9.5 Validity of the results of PhD entrance test and assessment interview is for one year from the date of the announcement of the Viva-Voce result on the University website.

10. Procedures for recognition of Research Supervisor

10.1 Any regular Professor of the University with at least five research publications in refereed journals shall be recognized as a Research Supervisor.

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- 10.2 Any regular Associate/Assistant Professor of the university with a PhD degree and at least two research publications in refereed journals shall be recognized as Research Supervisor

Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

- 10.3 Only a full-time regular teacher of the University can act as a supervisor. External Research Supervisors are not allowed. However, a co-supervisor can be allowed in inter-disciplinary areas from other departments of the same university or from other recognized Universities/Institutes with the approval of the Research Advisory Committee.

- 10.4 Faculty desirous of supervising candidates in a particular discipline/interdisciplinary studies shall submit an application with detailed curriculum vitae (CV) to the Dean (Academic) for recognition as Research Supervisor of the University and evidence of regular services and of publications of research articles in the discipline concerned.

- 10.5 In all above cases (Ordinances from Sections 10.1. to 10.4), the Board of Studies shall satisfy itself that the person has a sustained record of Independent post-doctoral research and publications.

- 10.6 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight PhD scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six PhD scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four PhD scholars.

- 10.7 In case of topics which are of inter-disciplinary in nature and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from within the Department, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

- 10.8 In exceptional cases, where a Research Supervisor who has attained superannuation but continues to work under sponsorship from recognized funding agencies, the Vice

REGISTRAR 11/23/01/2020
Karnataka State Open University
Mukthegangothri, Mysuru-570 006.


23/01/2020
VICE-CHANCELLOR
Karnataka State Open University
Mukthegangothri, Mysuru-570 006

Chancellor can extend the recognition of such person as Research Supervisor for a specific period after superannuation on a case-by-case basis upon request from the concerned Research Supervisor supported by relevant evidence of such funding/ sponsorship.

10.9 In case of relocation of a PhD 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 Research Supervisor from the parent institution for the part of research already done.

10.10 A Research Supervisor /co-Research Supervisor has to sign a declaration about the number of candidates and the category to which they belong working with him/ her at the time of enrolment of each candidate. A person shall not co-supervise more than four students at a time. A faculty who joins the University and is supervising candidates working in other Universities/ Institutions shall inform the University of the same and get permission from the University to continue supervising these candidates. However, the total number shall not exceed as specified in section 5.1 at any given point of time.

10.11 A Research Supervisor /co-Research Supervisor who has been recognized to supervise the work in more than one subject is also governed by the preceding provisions. The total candidates working under any Research Supervisor shall be the sum total of all the candidates working under his/her supervision in all the subjects (including from the previous institutions, if any).

10.12 In the Departments, wherever, infrastructure requirements including chemicals/ equipment/instruments are insufficient, the Head of the Departments shall decide on the number of candidates without fellowship/ Stipend it can accommodate per faculty member and submit information to/request the Registrar of the University seeking such facilities required before notification for admission.

11.0 Allotment of Research Supervisor

11.1 Research Supervisor Allotment Counseling:

Depending upon the vacancy available with a Research Supervisor and considering the total vacancies of the discipline, a list of candidates for enrolment will be prepared by the Chairperson of the BOS in order of the preference for Research Supervisors as indicated by the candidate during the Research Supervisor allotment counseling. After the written consent of the candidates and the Research Supervisor is taken the list will be submitted by the Chairperson of the BOS to the Office of Dean (Academic) through the

Chairperson of the Department immediately after the counseling process is completed. The Dean (Academic) will then notify the same on the website of the University.

- 11.2 After the allotment of the candidate to the Research Supervisor, the candidate shall finalize the research topic/title and the proposal in consultation with the Research Supervisor for presentation before the Research Advisory Committee.

12. Change of Research Supervisor

12.1 Generally, change of Research Supervisor shall not be entertained and permitted.

12.2. Under extraordinary circumstances, such as death or disability, on health grounds of the Research Supervisor or transfer of the Research Supervisor, the change of Research Supervisor shall be permitted by the University at the request of the candidate and on the recommendation of the Chairperson of the post-graduate department.

12.3 In case of any conflict between the Research Supervisor and the candidate, the Chairperson of the Post-Graduate department, on the receipt of request letter either from the candidate or from the Research Supervisor or both shall refer the matter to the Board of Studies. The Board of Studies shall examine the case and send its report with a recommendation to the Chairperson of the post-graduate department who in turn shall forward it to the Dean-Academic for perusal and recommendation. The decision of the Vice-Chancellor shall be final in this regard.

13. Constitution and Functions of Department Research Committee

13.1 Department Research Committee

Department Research Committee constituted by the University is entrusted with the responsibility of:

- conducting the Assessment Interview/Viva-Voce for the applicants and shall select the candidates for PhD programmes as per the norms explicated in sections 9 & 5.
- After the selection of the applicants for the PhD programme, the committee shall send the selected list to the Chairperson of the Post-graduate Department for completion of administrative and selection procedures.

13.2 Constitution of Department Research Committee

The structure of the Department Research Committee (DRC) is as follows:

a	Chairperson, BOS	Chairperson
b	Chairperson of the Department	Member Convenor
c	Minimum one External Expert to be nominated by the Vice-Chancellor	Member(s)
d	All Research Supervisors	Members

13.2.1 External experts to be nominated by Vice-Chancellor shall be senior faculty members not below the rank of Associate Professor working in the PG Departments of Universities.

13.2.2 A minimum of five members including the Chairperson shall constitute the DRC.

13.2.3 In the Departments, where the number of faculty is two or less than two, two members of the DRC may be chosen from sister disciplines within the University.

13.3 Rights of DRC.

The Department Research Committee reserves the right not to select candidates for all or any of the vacancies notified, for the following reasons.

1. The expertise/specialization of the available research supervisor does not correspond with the area of interest of the student.
2. Candidate lacks the aptitude for research and bent of analytical mind.
3. Failure to produce original documents for verification (Mark sheets, OBC/SC/ST Certificate, No objection certificate from the present employer and other documents as applicable)

In case there is a tie among candidates, it shall be resolved by applying the following criteria:

1. Previous exposure/experience in research (publications, fellowships, research experience in labs/institutes)

14 Constitution and Functions of the Research Advisory Committee (RAC)

14.1 The Research Advisory Committee constituted by the University, shall consist of:

a	Chairperson, BOS	Chairperson
b	Chairperson of the Department	Member
c	Dean (Academic)	Member
d	Minimum one <i>external expert</i>	Member
e	Faculty Member of the Department as <i>internal expert</i> (In the absence of an internal expert in the department, an external expert from other Universities shall be nominated by the Vice-Chancellor)	Member
f	Concerned Research Supervisor	Member Convenor

14.2 All the committee members should hold a PhD Degree compulsorily.

14.3 The external faculty members to be nominated by the Vice-Chancellor are not below the rank of Associate Professor and whose domain of expertise fall in the broad area of the research work, and working in the PG Departments of Universities.

14.4 The Research Supervisor shall be the convener of the Research Advisory Committee.

14.5 Wherever the Research Supervisor is also the Chairperson of the Department/Chairperson of the Board of Studies; another Faculty Member from the department/discipline or from other University shall be included in the Committee.

14.1.4 In the Departments, where the number of faculty is two or less than two, one member of the Research Advisory Committee may be chosen from sister disciplines within the University.

14.1.5 As the members of the Research Advisory Committee may change due to superannuation, resignation or any other reason (s), these vacancies can be filled up by the University upon written request from the Research Supervisor, whose membership

in the Committee is by name only.

15. Duties and Responsibilities of Research Advisory Committee (RAC)

- 15.1 To conduct the pre-registration colloquium and to recommend for the approval of the Board of Studies.
- 15.2 To review the research proposal and finalize the topic of research.
- 15.3 To guide the research scholar in developing the design and method for research and in identifying the course(s) that he/she may have to undertake.
- 15.4 To assist and periodically review the progress of the research work of the research scholar concerned.
- 15.5 To conduct the pre-submission colloquium and to accord permission for the submission of the Thesis.
- 15.6 To consider the request of the candidate for the change of title of the Thesis on the recommendations of the Research Supervisor and to recommend the same to the concerned Board of Studies.
- 15.7 To carry out such other duties as the University may entrust to the Committee from time to time in connection with the PhD programme.
- 15.8A research scholar shall appear before Research Advisory Committee once in every six months to present the progress of his/her research work for evaluation and further guidance. The committee shall submit the half-yearly progress reports of research scholar to the Registrar (Evaluation).
- 15.9 If RAC finds the progress report of research scholar unsatisfactory, it shall record the reasons and suggest the corrective measures. If a research scholar fails to adopt the corrective measures, Research Advisory Committee may recommend for the cancellation of the registration by recording the specific reasons.

16. Research Proposal/Outline

- 16.1 Every selected candidate shall prepare and submit a research proposal/outline to the Chairperson of the Post-Graduate Department, who in turn shall arrange for the meeting of Research Advisory Committee and to place it before the Research Advisory Committee. This is mandatory for all the selected candidates including those who are exempted from the PhD entrance test.

REGISTRAR
Karnataka state Open University
Mukhbagotri, Mysuru-570 006.

17

VICE-CHANCELLOR
Karnataka State Open University

- 16.2 The candidate shall prepare the research proposal/outline defining the objectives, methodology, literature survey, work plan and relevance of the proposed research clearly and shall present it in the pre-registration colloquium before the Research Advisory Committee.
- 16.3 The Research Advisory Committee shall assess the preparedness of the candidate to take up the proposed research work and recommend to the Board of Studies for its approval. However, the Committee is empowered to suggest changes, if necessary, in the title/scope/methodology of the proposed research topic/outline in consultation with the Research Supervisor.
- 16.4 If the performance and/or preparedness of the candidate is not satisfactory, The Research Advisory Committee shall provide an additional chance to the candidate to prepare and appear before the RAC for colloquium, within three months from the date of the first colloquium. If the candidate is not successful in the second attempt, he/she shall not be eligible for provisional registration.
- 16.5 All the applications, which are cleared and recommended by the RAC shall be sent to the Chairperson of the Board of Studies by the Chairperson of the Post-Graduate department for obtaining the approval.
- 16.6 The concerned Board of Studies shall scrutinize the research proposals, and accord its Approval. If the Board is not satisfied with the title of the research work, it shall return the proposal with its suggestions, When a proposal is returned by the Board of Studies with its suggestions, the candidate shall, in consultation with the Research Supervisor, attend to them and resubmit the proposal to the Chairperson of the Post-Graduate department.
- 16.7 All the candidates who are accorded provisional registration shall take up and complete the mandatory Course Work.

17. Course Work

- 17.1 All provisionally registered candidates shall undergo Course-Work for not less than six months. The University shall notify the time table and details of the Course Work including the schedule upon in consultation with post-graduate departments. The performance of the candidate shall be assessed in continuous mode. The continuous assessment during the learning period will be for 25% and the course end assessment shall be for 75%.
- 17.2 The Course Work for the PhD programme shall comprise of three papers of 100 marks each, viz., Course:I - Research methodology, Course:II - Cognate/Core subjects and Course:III - Field of Specialization. This shall be followed by comprehensive Viva-

Voce for 50 marks. However, it shall be noted that Course: I and II are common for all the candidates in a particular department/subject/discipline.

- 17.3 Curriculum of the Course Work shall be prepared and approved by the BOS. Depending upon the academic needs of the department and also by taking into consideration the broader research areas of the students, the BOS can decide the number of specialization papers to be introduced and it is also entrusted with the responsibility of preparing the syllabus. Two or more departments can conduct the course work classes together if the topics/courses are similar. In such cases, the concerned BOS shall agree for such an arrangement.
- 17.4 The method of instruction for the Research Methodology, Cognate and specialization papers shall be based on class room teaching by the faculty members of the Department/external experts invited for the purpose. Seminars/special/lectures or any other additional learning resources may be provided by the department as mandated by the discipline-specific BOS.
- 17.5 The workload borne by the faculty for teaching this course should be counted as official the workload of the faculty as per the existing UGC regulations. Faculty members who engage Course Work classes/sessions on Sundays and general holidays shall be entitled for a compensatory holiday.
- 17.6 University shall provide the required funds to the post-graduate departments to arrange Course Work classes/seminars or other events mandated by the BOS concerned for the benefit of the candidates enrolled for the PhD programme.
- 17.7 Classroom teaching and learning is through regular mode only. Credits assigned shall be followed. The candidates already holding M. Phil. degree and admitted to the PhD programme, or those who have already completed the Course Work in M. Phil and have been permitted to proceed to the PhD in integrated course may be exempted from the PhD coursework by the Department. All other candidates admitted to the PhD programme shall be required to complete the PhD Course Work prescribed by the Department.
- 17.8 Parameters for awarding marks under Continuous Internal Assessment for courses Research Methodology, Cognate and Field of specialization are as follows:
- Attendance – 5%- shall be maintained by the Department
 - Assignment on Review of Literature- 5%-shall be assessed by Concerned Research Supervisor
 - Presentation -5%, – shall be assessed by faculty who have engaged Course Work classes/sessions, and
 - Internal Tests – 10%, – shall be assessed by faculty who have engaged Course Work classes/sessions

17.8.1 The Internal assessment marks obtained by the individual candidates shall be communicated to the Registrar (Evaluation) at the end of the course-work by the Chairperson of the Department where the Course Work is being conducted.

17.8.2 The attendance for the course should be maintained by the Chairperson of the Department/coordinator of the department/head of the recognized research center.

17.8.3 The Chairperson of the Department acts as the coordinator for conducting the Course work. A candidate has to put in a minimum of 75% of attendance, failing which he/she is deemed to have not been successful in Course Work and the provisional registration of the candidate is cancelled.

17.9 Course structure and the assessment scheme are presented in the table below. The concerned Board of Studies (Post-Graduate) shall prepare and approve the curriculum for the courses.

Duration of Examination: 3 Hours per course.

Sl.	Course title	Total Teaching Hrs.	No. of Credits	IA	IA Min.	Exam	Exam Min.	Total Marks
1	Research Methodology	90	06	25	15	75	40	100
2	Cognate Subject	60	04	25	15	75	40	100
3	Area of Specialization(s)	90	06	25	15	75	40	100
	Viva voce					50	20	50
	Total	240 Hrs	16	75		225		350

Credit weightage: 1 credit = 15 hours of teaching.

18. Examination and Evaluation of Answer Scripts

18.1.1 There shall be a course-end examination of three hour durations (for 75 marks per course).

18.2 There shall be a Board of Examiners (PhD) constituted by the Registrar (Evaluation),

with the approval of the Vice-Chancellor, based on the panel of examiners approved by the Board of Studies. The Board of Examiners (PhD) on instructions from the office of Registrar (Evaluation), shall set the question papers for the courses offered for Course Work. Members of the Board of Examiners who set question papers should hold a PhD Degree and should have the experience of successfully supervising research scholars for PhD Degree.

18.3 The Chairperson of the Board of Examiners (PhD) shall get the requisite number of question papers set for course-I and course-II by External Examiners and course-III by the respective Research Supervisor. Question papers set shall be approved by the BOE (PhD) and should be submitted to the Registrar (Evaluation) maintaining confidentiality.

18.4 Registrar (Evaluation) shall simultaneously notify the date of examination for PhD Course Work students of all the departments and conduct the examinations as per the established procedures. On the instructions from Registrar (Evaluation), Chairperson, Board of Examiners (PhD) shall initiate the process of evaluation. Scripts of Course I and Course II shall be evaluated by one external examiner and internal examiner of the Board. The course-III paper shall be evaluated by external examiner and respective Research Supervisor. The average marks shall prevail in the evaluation of answer scripts in all courses. The copy of the answers scripts shall be made available to the candidate on demand against the fee prescribed by the University.

18.5 Viva voce shall be conducted for the research scholars undergoing Course Work for 50 marks after the examinations. A research scholar has to secure minimum 20 marks in Viva-Voce. BOE (PhD Course Work) is entrusted with the responsibility of conducting Viva-Voce.

18.6 A research scholar has to secure an aggregate of minimum of 55 percentage of marks, including the internal assessment marks for course exemption in Course Work examinations.

19. Minimum Pass Marks and Improvement Examination

19.1 A research scholar shall secure a minimum 40 marks in each paper and 55 percentage of marks in aggregate to pass in Course Work examination including marks secured continuous internal assessment. It is mandatory on the part of the research scholars to attend the Viva-Voce. Viva-Voce shall be held for 50 marks and a research scholar shall secure minimum 20 marks in order to qualify.

19.2 A research scholar who has obtained an aggregate of 55% and above shall be declared as qualified for PhD registration. The candidates who have obtained aggregate marks below 55% shall be declared as not qualified.

REGISTRAR
Karnataka State Open University
Muktharangothri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Muktharangothri, Mysuru-570 006.

19.3 The candidates who are not qualified in the Course Work shall be allowed to take only one improvement examination within three months from the date of their first examination. The candidates shall be given paper exemption where he need not appear for the course that he has passed. In the case of failure of the candidate even after an improvement examination, his/her provisional registration shall get cancelled.

19.4 All successful candidates receive a marks card and course completion certificate, with the details about the titles of the course and marks/ grades awarded according to the existing regulations of the University.

20 Confirmation of Registration

20.1 After the declaration of the result, the successful candidate shall submit Application – C to the Chairperson of the Post-Graduate department for forwarding the same to the University to issue the notification of confirmation of registration.

20.2 The Dean (Academic) shall issue the necessary notification confirming the registration within fifteen days from the date of receipt of the 'Application- C' from the Department. The notification shall accord permission to the research scholar to start working on the Thesis.

21 Place of Course Work and Research Work

21.1 All provisionally registered candidates shall attend the Course Work classes at Department complete the Course Work and shall be in continuous interaction with the Research Supervisor. The mode of interaction is through regular mode only. This shall apply to all types of candidates - full-time, part-time, sponsored, international, JRF candidates, etc.

22. Progress Reports

22.1 After the completion of the Course Work and the confirmation of the registration, every candidate shall submit a progress report once in every six months regularly through the Research Supervisor along with his/her recommendation to the Chairperson of the Post-Graduate Department. The Department Chairperson shall place it before the subsequent meeting of the Research Advisory Committee for its review.

- Tuition fee and laboratory fee shall be paid by research scholars once in six months to the University and a copy of the receipt of tuition fee and laboratory fee paid shall accompany the half-yearly progress report.
- Research Scholar shall appear before the Research Advisory Committee once in

six months which will be organized by the Research Supervisor in consultation with the Chairperson of the Research Advisory Committee to make a presentation of the progress of his/her work for evaluation and further guidance. After, the meeting of the Research Advisory Committee, the six-month progress reports shall be submitted by the Chairperson of the Research Advisory Committee to the University.

22.2 Failure to submit two consecutive research progress reports shall lead to the cancellation of the Registration. Chairperson of the Department shall place such matter before the Research Advisory Committee. The Research Advisory Committee shall recommend to the University for the cancellation of registration of such candidate and this shall be notified by the Dean (Academic). Before cancellation, a show-cause notice returnable within thirty days shall be issued to the research scholar.

23. Validity Period of Registration

23.1

- a. Every candidate shall take a minimum duration of three years and a maximum of six years, from the date of provisional registration to submit his/her Thesis.
- b. The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for PhD in the maximum duration allowed.
- c. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M. Phil/PhD for up to 240 days.
- d. If any candidate fails to submit his/ her PhD Thesis within six years, he/she may apply to the University for Extension of his/ her Registration for a maximum period of one more year with the recommendation of the Research Supervisor, through the Chairperson of the Department, by remitting the prescribed fee.
- e. If the candidate fails to submit the Thesis even after seven years then his/ her PhD Registration is annulled and the Dean (Academic) shall notify the same. Such a candidate has to begin the admission process anew by writing entrance examination and or by facing interview if he/she desires to pursue PhD Degree again.

23.2 Under extraordinary circumstances, by which, a candidate is affected and such circumstance warrant a further extension of period for submission of the Thesis, the candidate shall make an appeal before the expiry of the period (after paying the extra fee, as prescribed by the University) to the Chairperson of the post-graduate Department through the Research Supervisor and the Chairperson of the post-graduate department shall refer the same to the Research Advisory Committee for its opinion. The opinion of

the committee shall be submitted to the Dean – Academic by the Chairperson of the post-graduate Department for consideration and the decision of the Vice-Chancellor shall be final and limited to only one year. Candidates who fail to submit the Thesis even after the extended period shall repeat the programme by registering again.

23.3 A part-time candidate may be permitted to work on full-time basis on valid grounds. The validity period of such registrations shall be three years from the date of changeover or four years from the date of registration, whichever is earlier. A full-time candidate may also be permitted to work on part-time basis. But, the period of such registration shall be four years from the date of original registration

23.4 A candidate may be permitted to change the title of his/her Thesis within three years from the date of registration.

24. Guidelines for Submission of Thesis

24.1 All candidates shall follow the guidelines prescribed for the submission of Thesis:

- An Abstract shall be included in the preliminary section of the Thesis.
- The abstract in the body of the Thesis shall follow the style used for the rest of the Thesis and shall be placed after the Certificate page.
- The abstract should reflect the contents of the Thesis.
- Evidence of Publication: At the end of the Thesis, reprint of published papers or acceptance letters with manuscripts may be enclosed.
- The electronic version of the Thesis is to be submitted in CD in MSWord and PDF format. A candidate should keep a copy with him/her. The certificates and the declaration should be in the format provided by the University.
- Paper: Good quality paper must be used for final copies of the Thesis with good print. All copies shall be on white A4 paper and contents should be printed on one side of the paper.
- Typeface: Type size should be 12 point in Times New Roman or Book Antiqua font. Script or ornamental fonts should not be used. Print must be of letter quality. Accent marks and hand annotation, if any, must be done, neatly in black ink.
- Margins: Margins on the binding edge must be 1.5 inches and all other margins must be one inch. Pagination, headers and/or the footer may be placed within the

margin, but no closer than one-half inch from the edge of the page.

- Spacing: One and a half spacing is to be followed in the main body except in presenting footnotes, tables etc. Final copies of the Thesis must be clear and free from printing blemishes. Each copy should be reviewed for evenness and clarity of type and missing pages.

24.2 A candidate shall submit 15 copies of the final synopsis of his/her PhD Thesis, to the Chairperson of the Department who forwards the same to the office of Registrar (Evaluation), highlighting the contents of the Thesis and enclosing the evidence of one research publication in peer-reviewed journal and presentation of two papers in National conferences/seminars/workshops as the first and presenting author.

24.3 Further, the candidate who has submitted the application for permission to submit the Thesis shall present a pre submission colloquium before the Research Advisory Committee demonstrating his/ her preparedness to submit the Thesis.

24.4 The convener of the Research Advisory Committee shall organize the Pre-Thesis Submission Colloquium meeting in the concerned Department/discipline in consultation with the Chairman - BOS within fifteen days of the receipt of communication from the University. The colloquium shall also be open to all faculty members of the University and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/Thesis in consultation with the Research Advisory Committee.

Considering the work of the candidate his/her performance at the pre-submission colloquium and also the publications besides other procedural aspects, the Research Advisory Committee shall permit the candidate to submit the Thesis.

24.5 If the Research Advisory Committee is not satisfied with the Pre-Thesis Submission Colloquium of a candidate, it may ask the candidate to reappear for the Colloquium before three months and the Chairperson of the Research Advisory Committee has to communicate this decision to the University through the Chairperson - BOS.

- The Research Advisory Committee shall advise and offer suggestions to the candidate for the finalization of the Thesis.

24.6 Mandatory Plagiarism Check

- a) After, the final synopsis has been accepted by the University, the Thesis has to undergo a mandatory plagiarism check as required by the UGC regulations. The candidate will have to submit his/her Thesis for plagiarism check within six months from the receipt of communication from the University about the results of the pre-Thesis submission colloquium. If the candidate fails to submit his/her Thesis for

REGISTRAR

plagiarism check before six months he/she will have to re-appear before the Research Advisory Committee for pre-submission colloquium and obtain permission afresh. The procedure for plagiarism check shall be as outlined below.

- Soft copy of the doctoral theses (preferably in CD/ DVD) covering the entire Thesis has to be submitted in a single MS-word and PDF file, including preliminary pages: declaration, acknowledgement, abstract, list of charts and abbreviations, table of contents etc. and succeeding pages: glossary, index, questionnaire etc. to the University Librarian through the Chairperson of the Department. The candidate has to enclose the permission letter issued by the University to the University Librarian for checking plagiarism.
 - The University library through the SHODHGANGA PROJECT and INFLIBNET will provide the services of anti-plagiarism software. The use of particular anti-plagiarism software can change from time-to-time depending on the options offered by UGC-INFLIBNET.
 - The limit or percentage of similarity allowed is up to 25% of similarity index for the doctoral Thesis. 5% additional similarity shall be allowed for one's own content from publications, provided the Research Supervisor and the candidate provide a certificate of publication and on the production of the original article.
 - The full report of the plagiarism check shall be submitted by the University Librarian to the University along with a copy to the concerned candidate and the Research Supervisor.
 - In case the percentage of similar content detected is beyond 30 percent, then the said candidate and the Research Supervisor have to revise and resubmit the Thesis for plagiarism checking. It is the responsibility on the part of the candidate and the Research Supervisor to go through the identified similar content (plagiarized) and take appropriate measures to ensure the originality of the research output. A fee prescribed by the University will apply if the Thesis is re-submitted second time for plagiarism check and the fee will increase with every subsequent resubmission. This is allowed for a maximum of three attempts.
- b) Once the mandatory plagiarism check is successfully over, a candidate shall submit five copies of PhD Thesis along with five copies of the final synopsis and soft copy of the Synopsis and Thesis in PDF format (3 CDs) for the evaluation, on or before three months from the date of receipt of communication from the University.
- c) The Thesis submitted by the Research Supervisor and forwarded by the head of the department has to be accompanied by a 'No Objection Certificate' from the Research Supervisor/department and the University Library/hostel etc. Failure to submit the Thesis within this period shall lead to cancellation of the PhD Registration of the candidate. A candidate has to include the results of plagiarism test conducted on the Thesis. Once a research scholar has submitted the Thesis, he/she is eligible to obtain a

Thesis submission certificate from the Registrar (Evaluation) upon payment of a prescribed fee.

- d) For the candidates who are registered under the native language for PhD Programme and for those candidates who are submitting their Thesis in languages other than English, Plagiarism Check is not mandatory till language specific plagiarism detection software is available. However, once such software for native languages like Kannada/Sanskrit/ Urdu/ Hindi, etc. becomes available, all the above mentioned provisions will come into effect. In the interim, the Research Supervisor and the candidate has to jointly certify that content of the Thesis has not been plagiarized. Any attempt to opt and submit the Thesis in languages other than English deliberately to include the translated content to avoid detection of plagiarism is viewed seriously. If the fact that the content submitted is the translation of the text/content from other languages is detected/established, it would attract the same penal provisions as in case of plagiarism and would lead to the cancellation of registration/rejection of Thesis.
- e) A certificate duly signed by the Research Supervisor and co-Research Supervisor, if any, to the effect that the candidate has produced as main author, one research article/paper based on his/her research work.
- f) 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 for that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma.

24.7 The candidate shall after the Viva-Voce examination, incorporate the suggestions made by the adjudicators and also the summary of Viva-Voce examination into his/her Thesis, and submit three more copies and a soft copy to the Registrar (Evaluation) for sending them to the University Library (both the hard and soft copies of the Thesis) and to the Government authorities (only hard copy).

25. Evaluation of the PhD Thesis

25.1 The research scholar shall submit the Thesis to the Registrar (Evaluation) through the Research Supervisor and Chairperson of the post-graduate department. The Registrar (Evaluation) shall arrange for the evaluation of the Thesis.

25.1.1 Upon receiving the letter from the Registrar (Evaluation), The Panel of examiners shall be prepared by the Chairperson of the concerned Board of Studies in consultation with the Research Supervisor and shall obtain approval from the members of the concerned Board of Studies in a meeting or by circulation before sending the Panel to the Registrar (Evaluation).

25.1.2 The panel of examiners shall consist of senior faculty members who are not below the rank of Associate Professor and with proven track record of successful PhD guidance. This process has to be completed by the Chairperson of the concerned BOS within two weeks of receipt of communication from the Registrar (Evaluation).

25.2 For the adjudication of PhD Thesis, there shall be a Board of Adjudication consisting of the Research Supervisor as the Chairperson and two external members to be chosen by the Vice-Chancellor from a panel of eight examiners prepared and approved by the Board of Studies.

25.3 The panel of adjudicators prepared and approved by the Board of Studies shall include only experts in the concerned field and not below the cadre of Associate professors, or senior scientists/academicians who possess a PhD in the concerned discipline/subject and have evidence of research experience in the field of research. Further, out of eight experts, four shall be from within Karnataka and four shall be preferably from Universities/Institutions outside Karnataka and/or Foreign University/ Institutions. If the Research Supervisor prefers foreign adjudicator, he/she shall intimate the same to the Chairperson of Post-graduate department who in turn shall pass it on to the Chairperson of BOS for consideration.

If the Thesis submitted is in Kannada language, panel of examiners may include the external examiners from outside the state if the examiner is acquainted with Kannada. Otherwise, such a Thesis may be evaluated by the two external examiners within Karnataka. In such cases, the panel examiners may consist of all the eight examiners within Karnataka.

25.4 Each adjudicator appointed to adjudicate the Thesis shall send the report to the Registrar (Evaluation), making a copy to the Chairperson of Board of Adjudicators, within two months from the date of receipts of the Thesis. Examiners shall be asked to sign a declaration that he/she is not a relative of the candidate or the Research Supervisor or the Co-Research Supervisor and that he/she has no conflict of interest in adjudicating the PhD Thesis.

25.5 Each adjudicator's report on the Thesis shall include the following.

- A critical account of the work of the candidate as embodied in the Thesis and an evaluation of the work in terms of its contribution to the advancement of knowledge.
- Details of any question/s to be asked to the candidate or points to be clarified by the candidate at the open Viva-Voce examination.
- A definite recommendation as to whether the PhD degree should be awarded or not.

REGISTRAR
Karnataka State Open University
Mukthegangothri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Mukthegangothri, Mysuru-570 006.

The adjudicators shall also be required to answer specifically the following.

- Whether the PhD degree can be awarded on the basis of the Thesis as presented?
- If the answer is no, whether the Thesis can be resubmitted after revision/corrections?
- A definite recommendation against the award of the PhD degree.
- Whether the Thesis is fit for publication with or without revision?

Examiners have to assess whether the candidate has achieved the objectives mentioned in the Thesis while preparing his/her report on the Thesis.

Evaluation Reports:

- a) The External Examiners shall send the Evaluation Report directly to the Registrar (Evaluation) of the University.
- b) Apart from the Evaluation Report, each Examiner is required to submit a Short Report in the prescribed Performa sent by the University duly signed and send it in the form of hard copy/ scanned PDF document.

25.6 Decision about the Evaluation:

- (a) If both External Examiners recommend acceptance of the Thesis, the Registrar(Evaluation) will communicate the same to the Research Supervisor along with:
 - The original Evaluation Reports of the two External Examiners along with the Evaluation Report of the Internal Examiner (Research Supervisor).
 - A Consolidated Report highlighting the main points in the Evaluation Reports of two External Examiners, together with the recommendations of the Research Supervisor as the Chairperson of the Board of Adjudicators.
- (b) Arrange for the open Viva-Voce examination and Viva-Voce shall include one of the external adjudicators approved by the Vice-Chancellor.

25.7 If any of the Examiners recommends revision and re-submission of the Thesis with valid reasons, then the candidate shall revise the Thesis by incorporating the revisions/corrections/modifications suggested by the Examiner (s) and submit the revised Thesis duly certified by the Research Supervisor and with payment of the prescribed fees to the Registrar (Evaluation) of the University through the Chairperson of the Department. The Registrar (Evaluation) shall send the Revised Thesis within fifteen days to the same Examiner (s), if they have mentioned that the re-submitted Thesis has to be re-evaluated

by them.

- No candidate shall, however, be permitted to resubmit the Thesis more than once.

25.8 If any of the adjudicators of the approved panel makes a definite recommendation against the award of the PhD degree, the Thesis shall be referred to another external adjudicator. If the report of such adjudicator is favorable, then the candidate shall be eligible to appear for the open Viva-Voce examination. In case, if the third external adjudication recommends against the award of degree, the Thesis shall be rejected. However, the reports of the adjudicators shall be made available to the candidate.

25.9 If both the external adjudicators make definite recommendations against the award of PhD Degree, the Thesis shall be rejected.

26. Viva Voce

26.1 On the receipt of the favorable/satisfactory reports from all the three adjudicators and a consolidated report from Chairperson, Board of Adjudicators, Registrar (Evaluation) shall constitute. Board of Examiners (Viva-Voce), on approval of Vice-Chancellor, to conduct an open Viva-Voce examination on any working day. The composition of Board is as below.

a	Research Supervisor	Chairperson
b	One External Examiner who has evaluated the Thesis.	Member
c	Co-Research Supervisor, if any	Member
d	Dean (Academic)	Member
e	Chairperson of the Department	Member
f	Chairperson, BOS (PG)	Member

- Registrar (Evaluation) shall ask the Chairperson of BOE (Viva-Voce) to conduct an open Viva-Voce session in the presence of the external examiner and members of the Board, after seeking the approval of the University to invite the external examiner and other members of the Board. Other members of the Research Advisory Committee, members of the concerned faculty shall be invited and wide publicity may be given through circular to faculty members of the other Departments, research scholars and students as it is an open viva voce examination. The proceedings of this meeting and the original evaluation and consolidated reports shall be sent to the Registrar (Evaluation) to notify the declaration of the result.

- (a) In the case of the death/disability/non-availability of the Research Supervisor, or legal actions on the Research Supervisor initiated by the administration, the Vice-Chancellor may nominate a member from the Panel of Examiners/Chairperson of respective Board of Studies to act as the Chairperson, Board of Adjudicators of the Thesis to adjudicate the Thesis and to conduct the Viva-Voce examination.
- 26.1.1 In case, where the Research Supervisor cannot attend the Viva-Voce examination, then the co-supervisor or the external adjudicator shall be made the Chairperson. However, written consent from the Research Supervisor and prior approval from the Vice-Chancellor shall be taken. When an external adjudicator is appointed as the Chairperson, one more external adjudicator who adjudicated Thesis shall be invited to Viva-Voce as the member if he/she is from India. Otherwise, another expert from the panel approved by BOS shall be invited as the member.
- 26.1.2. Under extraordinary circumstances, where either of external adjudicators cannot be present for the viva-voce examination, the Vice-Chancellor shall be competent to appoint another external substitute expert from the panel of adjudicators approved by the Board of Studies.
- 26.2 Besides the above, the Chairperson of the Viva-Voce Board shall invite the Chairperson and members of Research Advisory Committee, and send a circular to all the Post-graduate departments (including his/her own department) inviting interested faculty members, research scholars and students to attend the Viva-Voce examination
- 26.3 The Viva-Voce examination shall primarily be designed to test the understanding of the candidate on the subject matter of the Thesis including the methodology employed and the competences in the field of research. Any of the points raised by the adjudicators shall be clarified during the Viva-Voce examination and the report of the examiners shall be made available to the Board for Viva-Voce examination.
- 26.4 In the case of candidates, who are abroad and unable to be present physically, the Viva-Voce examination may be held through video-conference mode as described above (with open viva) after the candidate pays the additional fees prescribed by the University.
- 26.5 The report of the open Viva-Voce examination shall be signed by only the Research Supervisor and the External examiner.
- 26.6 If the performance of the candidate in the Viva-Voce examination is not satisfactory, he/she may be allowed one more chance to reappear for the Viva-Voce within three months.

27. Award of PhD Degree

REGISTRAR/01/2020
Karnataka State Open University
Mukthanganthri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Mukthanganthri, Mysuru-570 006.

- 27.1 After the successful completion of the open Viva-Voce examination by the candidate, the Chairperson, the Viva-Voce Board, shall prepare and send the minutes of the Viva-Voce meeting. Minutes shall be signed by the Chairperson and external member of the Board based on the candidate's performance in the Viva-Voce examination recommending to the University on behalf of the Board to award the Degree of Doctor of Philosophy to the candidate.
- 27.2 Along with the degree, the degree awarding University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of U.G.C. regulations 2016.
- 27.3 Depository with UGC: following the successful completion of the evaluation process and announcement of the award of PhD, the University shall submit a soft copy of the PhD Thesis to the U.G.C. within a period of 30 days, for hosting the same in INFLIBNET and NAD accessible to all institutions/University.

28. PhD Notification

28.1 The PhD Declaration Notification by the Registrar (Evaluation) shall be on the Official Letterhead and shall contain:

- The name of the candidate.
- The discipline/subject of the PhD.
- The names of Research Supervisor, co-Research Supervisor (s), if any.
- The name of the department where the research work was carried out.
- The title of the Thesis.
- The year of KSOU PhD Ordinance applicable.

The Registrar (Evaluation) shall affix a Seal with the University Emblem stating that the Thesis was accepted for the award of PhD Degree as per UGC Regulations- 2016 (with amendments) and copy to be issued to the candidate.

28.2 Plagiarism charges and subsequent actions:

- If the University receives a complaint of plagiarism with sufficient evidence or if any examiner points out the occurrence of plagiarism in the Thesis, the Thesis shall be sent to a subject expert selected by the Vice-Chancellor from the panel of experts forwarded by the BOS, to verify and ascertain the occurrence of plagiarism.
- If plagiarism is proved, then a show-cause notice shall be issued to the candidate and the Research Supervisor. After reply to the show cause notice, all documents/reports and answers to the show-cause notice shall be placed before the Board of Management

REGISTRAR (E) 132
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.

through academic council for appropriate action including possible annulment of registration of the candidate and initiation of disciplinary action against the candidate and the Research Supervisor.

- Unsigned and undated complaints without the address of the complainant shall not be entertained by the University.
- The University shall also strictly maintain the confidentiality of the name and address of the complainant.

29. Publication of Thesis

29.1 After the award of PhD degree, the entire Thesis or any part of the Thesis may be published by the candidate with the written permission of the University, giving due credit to the Research Supervisor. Two copies of the published work shall be submitted to the University Library.

29.2 After the award of the PhD degree, the Thesis or any publication derived from the Thesis work shall be the property of the University. Research scholar after the award of PhD Degree may publish his Thesis only after getting permission from the University. The University shall rightfully share the copyright, patent or recognition to the Thesis with the candidate and supervisor resulting out of the research work.

29.3 If a Thesis is proved to be a copy / plagiarism / academic misrepresentation the University has powers to rescind the degrees.

30. Prohibition for pursuing PhD Degree

30.1 The statutory officers of the University are prohibited from registering for a PhD degree in the same University during their tenure.

31. Repeal

31.1 Notwithstanding anything contained in this Ordinance, the provisions of any Guidelines, Order, Rule or Regulations in force shall be inapplicable to the extent of their inconsistency with this Ordinance.

31.2 The Dean – Academic shall issue such orders, instructions, etc., and prescribe such format, procedure, etc., as it may deem fit to implement the Provisions of this Ordinance.

31.3 Remuneration applicable for academic services rendered by external experts shall be as approved by the University.

31.4 Allowances/sitting fees and expenses to conduct DRC/RAC/BOS/BOE/Course Work

REGISTRAR / 01 / 2020
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Mukthagangothri, Mysuru-570 006

Sessions/Viva-Voce shall be as approved by the University.

31.5 These amended ordinances shall come into force from the date of approval of the Board of Management of the University.

32. Powers to remove difficulties

32.1 If any difficulty arises in implementation of these ordinances, the Vice-Chancellor shall, in consultation with the Dean (Academic), be competent to issue necessary clarifications and at the earliest possible opportunity, thereafter, report the action taken by him to the Academic Council for ratification.

33. Discrepancies, if any.

33.1 If there is (are) discrepancy/ies in the Ordinance / Government Order, UGC regulations governing PhD Degree, 2016 (Amended from time to time) shall be followed.

REGISTRAR

Karnataka state Open University
Mukthagangothri, Mysuru-570 006.

VICE-CHANCELLOR
Karnataka State Open University
Mukthagangothri, Mysuru-570 006.