

PERIYAR MANIAMMAI INSTITUTE OF SCIENCE AND TECHNOLOGY (PMIST)



**PERIYAR
MANIAMMAI**
INSTITUTE OF SCIENCE & TECHNOLOGY
(Deemed to be University)
Established Under Sec. 3 of UGC Act, 1956 • NAAC Accredited

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Ph.D Regulations 2016 (Amended)

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Ph.D Regulations 2016 (Amended)

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PMIST

Ph.D Regulations 2016 (Amended)

SECTION 1: INTRODUCTION

- 1.1 The Regulations govern the conditions for imparting courses of instructions, conduct of the examinations and evaluation of students' performance leading to Ph.D. degrees. These Regulations are effective for the batches of students admitted from the academic year 2016-2017 onwards.
- 1.2 PMIST follows UGC Regulations 2016 for Admission to Ph.D. programmes.
- 1.3 The provisions of these Regulations shall be applicable to any new discipline that is introduced from time to time and added to the list.
- 1.4 Notwithstanding any of the clause(s) provided in the Regulations, the Academic Council shall exercise its powers to change / amend / interpret / implement decisions and actions concerned with academic matters.
- 1.5 The Board of Management of the Institution may, on the recommendation of the Research Board and or Academic Council, change any or all parts of these Regulations at any time.

SECTION 2: DEFINITIONS AND NOMENCLATURE

In the Regulations, unless the context otherwise requires,

- i. "Institution" means PMIST
- ii. "Programme" means Doctoral Programme leading to the award of Ph.D. in various authorized Departments

- iii. “DRC” means Department Research Co-ordinator.
- iv. “HoD” means the Head of the Department under which Ph.D was registered.
- v. “Supervisor” means any faculty member of PMIST those who have already been recognized as Research Supervisor by PMIST.
- vi. “Doctoral Committee” means a Committee constituted by the Research Supervisor and approved by the Vice Chancellor for each scholar to monitor the progress of his/her research work.
- vii. “Scholar” means any candidate admitted by PMIST either under Full-time or Internal Part-time or External Part-time mode for pursuing research for the award of Ph.D.degree.
- viii. “Course work” means a theory subject of existing PG programme not studied by the scholar / MOOC subject prescribed by the Doctoral Committee for the scholar to undergo as a part of the Ph.D. Programme.
- ix. “Comprehensive Viva Voce examination” means Appearing for written examination covering the entire syllabi of all the course work subjects, and presenting the progress through power point presentation for the confirmation of his/her research work.
- x. “Seminar Talks” means presenting first and second parts of Research work done by the scholar through power point presentations.
- xi. “Synopsis submission” means presenting the entire progress through power point presentation, getting satisfactory report

from the examiners and submitting his/her synopsis after fulfilling the publication norms.

xii. “Final DC meeting” means analyzing the Reports received from Foreign and Indian examiners, making the scholar to incorporate the corrections if any and submission of Panel of examiners for public Viva Voce examination.

xiii. “Public Viva Voce examination” means examining the scholar whether he/she may be awarded Ph.D degree.

SECTION 2A: DEPARTMENTS OFFERING RESEARCH PROGRAMMES.

1. Department of Architecture
2. Department of Biotechnology
3. Department of Chemical Engineering
4. Department of Civil Engineering
5. Department of Electrical and Electronics Engineering
6. Department of Electronics and Communication Engineering including Division of Nanotechnology
7. Department of Mechanical Engineering
8. Department of Computer Science and Engineering
9. Department of Computer Science and Application
10. Department of Information Technology
11. Department of Software Engineering
12. Department of Chemistry
13. Department of English
14. Department of Management Studies
15. Department of Mathematics
16. Department of Physics
17. Department of Education
18. Centre for Periyar Thought

19. Centre for Rural Development

20. Centre for Political Science

SECTION 3: MODES OF Ph.D. REGISTRATION.

- 3.1 **Full Time (FT) mode:** Pursuing research on full time basis without working anywhere.
- 3.2 **Internal Part Time (IPT) mode:** Pursuing research on part time basis with employee identification in PMIST.
- 3.3 **External Part Time (EPT) mode:** Pursuing research on part time basis with employee identification of Educational Institutions, Government departments, Research organizations and other practicing Professionals.
- 3.4 **Experience:** Work experience / Practice experience of at least 2 years is essential for all candidates seeking admission to Ph.D programme in all disciplines.

SECTION 4: ELIGIBILITY

- 4.1. Minimum academic qualifications required for admission is that the candidate should possess a PG Degree / PG Diploma of two years duration recognized by the respective statutory bodies for pursuing research.
- 4.2 For the candidates seeking admission with Post Graduate Qualification, minimum of 55% aggregate marks or equivalent CGPA of 6.5/10 in UG and PG for admission under OC category, and 50% aggregate marks or equivalent CGPA of 5.5 is the eligibility requirement for OBC/SC/ST candidates.
- 4.3 Preference will be given to the candidates seeking admission if they have at least a paper publication in international conference.

SECTION 5: ADMISSION PROCEDURE

- 5.1. The number of available seats in the various specializations under different disciplines will be determined well in advance and will be notified in the PMIST website.
- 5.2. The candidates desirous of pursuing Ph.D. degree shall submit the application in the prescribed format through proper channel wherever applicable, before the dead line to the Director (Admissions). The application format and the necessary details are available in the PMIST website.
- 5.3. The applications received will be sent to the respective Deans of the Schools for conducting written / oral examinations and to submit the list of eligible candidates to Director (Admissions) as well as to Dean (Research).
- 5.4. The Dean (Research) will seek the approval of the Vice-Chancellor for the provisional registration of the selected candidates
- 5.5. Dean (Research) will send the selection orders to the eligible candidates by Registered post by marking copies to the DRs.
- 5.6. The selected candidates to submit all his/her original certificates along with the course fees before the dead line.
- 5.7. The DRC and HoD will arrange for fixing the Supervisor.
- 5.8. The Research Supervisor will arrange for First DC meeting within 30 days from the date of Registration.

SECTION 6: DURATION OF THE PROGRAMME

6.1. Engineering Discipline:

In case of full time, the minimum duration for the submission of the thesis for Research programme leading to Ph.D. in all departments

will be 2 years from the date of registration, and 3 years for part-time candidates.

6.2. Non-Engineering Discipline: (with M.Phil degree)

6.2.1. In case of full time Research programme leading to Ph.D. in the concerned departments, the minimum duration for the submission of thesis will be 2 years from the date of registration.

6.2.2. In case of part time Research programme leading to Ph.D. in the concerned departments, the minimum duration for the submission of thesis will be 3 years from the date of registration.

6.3. Non-Engineering Discipline: (without M.Phil degree)

6.3.1. In case of full time Research programme leading to Ph.D. in the concerned departments, the minimum duration for the submission of the thesis will be 3 years from the date of registration.

6.3.2. In case of part time Research programme leading to Ph.D. in the concerned departments, the minimum duration for the submission of the thesis will be 4 years from the date of registration.

6.5. The candidate should also pay fees every year as prescribed by the Institute during the months of June - July, failing which, the registration will be cancelled without any intimation.

6.6. The maximum duration permitted for Research programme is (n+2) for all disciplines.

6.7. An extension of maximum of 1 year after (n+2) may be permitted by Vive Chancellor.

6.8. At the end of (n+2+1), the registration will automatically be cancelled.

6.9. RE-REGISTRATION: Vice Chancellor may be requested to get permission for re-registration of Ph.D programme by paying an administrative charge of Rs. 5,000/- after the lapse of maximum period (n+2+1).

6.10. Vice Chancellor may be requested to get permission for re-registration of Ph.D programme by paying an administrative charge of Rs.10, 000/- after the removal of name from the role.

6.11. In both of the above cases, the scholars have no rights to claim. The decision of Vice Chancellor will be the final.

**where 'n' is minimum duration for thesis submission*

SECTION 7: REGULAR RESEARCH OUTSIDE PMIST

7.1. During the course of Regular Ph.D. Programme, for reasons approved by the Doctoral Committee as well as the Vice Chancellor, a candidate may be permitted by the institution to spend up to one year in an Institution or on a project approved for the purpose, outside the PMIST for carrying out research in the areas related to the subject of investigation.

7.2. The Institution may offer Half Time Teaching Assistantship (HTTA) for the Scholars those who fulfill the following norms.

- a) First class with distinction in PG
- b) Preference will be given for valid GATE/ SLET/ NET Scores
- c) Preference will be given for publication in refereed journals
- d) Basic knowledge on writing project proposals
- e) Handling academic load of at least 8 hrs. /week at UG level teaching.

SECTION 8: CHOICE OF SUPERVISOR

8.1. Allotment of research scholars to Supervisors will be made by the DRC after consulting with the HoD, taking into consideration the proposed area of research of the scholar as well as the areas of

research in which the Supervisors are available in the concerned department.

- 8.2. No external Supervisors will be permitted to guide the scholars registered under PMIST.
- 8.3. The candidates admitted under External Part-time mode may either carry out part or all of his / her research work in their respective Industry / Organization / National Laboratories / Institution employing the scholars or in PMIST.
- 8.4. For all scholars, there will be one DC Member from PMIST and one DC Member from other Reputed Institutions/ R&D Units.
- 8.5. If a Supervisor / DC member leaves the institution / retires from service, he/she may be permitted to continue as external supervisor / DC Members for his/her students depending upon the necessity of the individual, subject to the approval of the Vice Chancellor. In this case, a Co-Supervisor will be appointed for taking care of administrative responsibilities of the scholar.
- 8.6. However for the approved External Supervisors / DC Members TA/Sitting fee will be provided for attending DC Meeting, Synopsis meeting, and Viva-voce examination.
- 8.7. Otherwise a new supervisor belonging to the same faculty of PMIST will be officially nominated by the Dean (Research) after obtaining necessary approval from the Vice Chancellor

SECTION 9: CHANGE OF RESEARCH SUPERVISOR

The Research scholar may request the Dean (Research) for a change of Supervisor after getting the consent from the present supervisor for valid reasons. The request shall be considered by the head of the department, Dean (Research) and Vice Chancellor.

SECTION 10: SUPERVISORSHIP

- 10.1. Recognition of Supervisor for guiding research scholars will be accorded by the Vice Chancellor, on application to the Dean (Research) through proper channel in the prescribed format.

Candidates seeking for supervisor recognition should possess:

- i. A Ph.D. degree in the relevant area of research in which he/she proposes to guide the scholars.
 - ii. The applicant should have a minimum of two research papers in unpaid Scopus indexed / Thomson Reuters indexed / Google scholar indexed / Web of Science indexed journals / IEE journals / SCI journals in the relevant areas of research within a period of three years preceding to his/her date of application for recognition
 - iii. The applicant should have at least one research publication indexed by the above indexing agencies after the completion of his/her Ph.D degree.
 - iv. He should have a minimum of two years of research or teaching experience after acquiring Ph.D. degree.
- 10.2. Professors can guide to a maximum of 8 research scholars, Associate Professors can guide to a maximum of 6 research scholars and Assistant Professors can guide to a maximum of 4 research scholars
The number of Co-Supervisor ship is excluded for the maximum limit. The Supervisor can take additional candidates subsequent to the submission of Synopsis by the existing scholars.
- 10.3. As the tenure of the Emeritus Fellow/Professor of Emeritus will be for a period of one or two years only, they may be allowed to continue their guidance of Ph.D. scholars as per the existing rules applicable to PMIST faculty members with less than 2 years service left for superannuation.

SECTION 11: DOCTORAL COMMITTEE

11.1. The HoD will intimate to the Dean (Research) the area of research, name of the Supervisor and a panel of experts suggested by the Supervisor for the DC for each research scholar, within one month from the date of joining of the research scholar. The research scholar should submit a request form in a prescribed format to the HoD to enable the constitution of the Doctoral Committee.

11.2. The following is the composition of the Doctoral Committee:

1.	Research Supervisor	Convener
2.	One internal member from same or Allied department nominated by the VC from the panel of names suggested by the Supervisor	Internal DC Member
3.	One external member from Industry / Research establishment / academia to be nominated by the VC from the panel of names suggested by the Supervisor	External DC Member
4.	Concerned HoD or a Professor/Asso. Prof. nominated by the HoD.	Ex-officio member

11.3. The DC will meet within one month from the date of registration of Ph.D. programme for prescribing course work subjects (minimum of 4 subjects with a minimum of 3 credits each) by considering the proposed research topic.

11.4. All the external members to be present for all DC meetings.

11.5. For all the meetings consisting of external examiner, at least two-third of the members including the external examiner to be present.

11.5. Course work subjects may be taken from Core or Elective subjects offered in PMIST at PG level / Core or Elective subjects offered in other institutions at PG level / Coursera / IITs' NPTEL with the recommendation of DC. In case of Coursera online courses conducted by other Universities, the scholars to attend the examination in PMIST in the presence of the Supervisor.

- 11.6. The minutes of the first DC meeting will be sent through the Dean (Research) for the approval of the competent authority. Research Scholar shall submit a registration form for the course work in the prescribed format through DRC, HoD and Dean (Research) to the Controller of Examinations.

SECTION 12: COURSE WORK

- 12.1. It is mandatory that the research scholars should successfully complete the courses prescribed by the DC within two semesters for full time and three semesters for part time from the date of registration of the programme.
- 12.2. M.Phil. degree holders pursuing Ph.D. in Science / Humanities departments are directed to undergo an online course instead of Research Methodology course with same credit.
- 12.3. The minimum residential course requirement for the scholars registered under Part-time category for undertaking course work is eight weeks. Their stay during the weekends will be counted for this purpose.
- 12.4. The attendance and assessment record should be maintained by the concerned course teacher. Minimum attendance requirement stipulated by PMIST is 80% for individual subjects.
- 12.5. Full time research scholars shall sign in the attendance register on all working days. They are eligible for a leave of 15 days/year, which they can avail after obtaining the HoD's permission
- 12.6. However, the scholar shall spend at least one week per semester on campus until the submission of synopsis.
- 12.7. No change in courses prescribed shall be made without the approval of the DC. It shall, however, be open to the DC to prescribe additional courses whenever found necessary.

- 12.8. Courses completed after the date of registration will only be counted towards the requirements of award of Ph.D. degree. Scholars admitted to the programme shall obtain at least B grade in individual conventional subjects. For the online courses, shall obtain just pass.
- 12.9. If the DC desires that the scholar should take more than 4 courses, then the credits of the extra courses need not be taken for calculating the average grade.
- 12.10. Candidates who fail to satisfy the grade requirement may attempt other prescribed courses or rewrite (once) the examination in the subject(s) where they had scored less than B grade. If they still fail, their registration will be cancelled.

SECTION 13: PROGRESS REPORT

- 13.1. A research scholar shall submit a written report of work done by him/her in the months of June and December every year to the Supervisor who shall forward it to the Dean (Research).
- 13.2. Half Yearly Research Scholars' meeting will be convened by the Dean (Research) with the support of the Concerned Department in August and in February to assess the progress in his/her research. In the meeting, the scholars to present their progress for 5 minutes.
- 13.3. The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the guide for any one semester or who has not submitted his/her semester progress report is liable to be cancelled by PMIST without any intimation.
- 13.4. The registration of a research scholar who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the Regulations will be cancelled by PMIST.

SECTION 14: COMPREHENSIVE VIVA VOCE EXAMINATION FOR CONFIRMATION

- 14.1. A research scholar shall take a comprehensive examination after the completion of all course work subjects probably at the end of second semester for Regular scholars and at the end of third semester for the Part time scholars.
- 14.2. The Supervisor shall intimate the research scholar sufficiently in advance, the scope of the examination and other relevant details.
- 14.3. Comprehensive examination shall be conducted by a panel of examiners which consists of the members of the Doctoral Committee along with one external examiner as recommended by the Supervisor and approved by the Vice Chancellor.
- 14.4. The comprehensive examination shall be in the form of written and oral as recommended by the Doctoral Committee.
- 14.5. The written examination will be conducted for 100 marks, a minimum score of 60% is essential to appear for oral examination.
- 14.6. If the performance of the research scholar in the comprehensive examination is satisfactory, his/her provisional registration shall be confirmed.
- 14.7. If the performance is unsatisfactory, he/she shall be given one more opportunity to appear for the examination within six months of the first examination. In case, the research scholar fails to successfully complete the comprehensive examination within the prescribed time limit, his/her provisional registration shall be cancelled without any intimation.

SECTION 15: CONVERSION OF MODE / DISCONTINUATION OF THE PROGRAMME

- 15.1. In case, the Ph. D. scholar wants to change from full time mode to part time mode or vice versa, the scholar has to submit a requisition letter to the Dean (Research) through the supervisor. Only after getting approval from Vice Chancellor, the conversion will become effective.
- 15.2. In case, the scholar discontinues from his/her Ph.D programme with his/her own decision or not responding beyond one semester continuously at any stage , his / her registration may be cancelled and the scholar should pay the fees to the institution upto his/her last attendance given in the institution. The last date means that the scholar attended DC meeting / half yearly research scholar meeting/ course work classes/ meeting with supervisor or co-supervisor in PMIST whichever is last attended.

SECTION 16: PRESENTATION OF SEMINAR TALKS

The Research Supervisor shall submit the request forms in the prescribed format for having the seminar Talk 1 and 2 with in a time break of 2 weeks. The Scholar has to present two satisfactory seminars in the department in the presence of Faculty, Scholars, Students and other invitees.

SECTION 17: SUBMISSION OF SYNOPSIS

- 17.1. On satisfactory completion of the prescribed courses, the Comprehensive Viva Voce Examination and 2 Seminar Talks along with a publication of 2 unpaid research publications in Scopus indexed / Thomson Reuters indexed / Google scholar indexed / Web of Science indexed / IEE journals / SCI journals in the relevant areas of research, the research scholar shall submit four copies of the synopsis of his/her research work to the DC.

- 17.2. Synopsis presentation and subsequent DC meeting will be held on the same day. If the Synopsis is satisfactory, the DC may permit the scholar to submit the synopsis to the CoE without any revisions or otherwise the DC is empowered to recommend for resubmission of synopsis after incorporating the suggested modifications.
- 17.3. If the DC approves the work reported in the synopsis, the scholar will be permitted to submit the thesis with 90 days from the date of synopsis submission, and a panel of at least ten thesis examiners (Five from India and Five from Abroad) will be recommended by the DC.

SECTION 18: SUBMISSION OF THESIS

- 18.1. The research scholar shall submit six copies of the thesis within 90 days from the date of submission of synopsis, and also four copies of the abstract of the thesis of about 400 words. Besides, a CD with one copy of the electronic version of the thesis in both MS word and pdf formats also should be submitted in addition to a one page abstract of the thesis in Tamil.
- 18.2. The thesis submitted for the Ph.D. degree shall contain an account of the research work carried out by the scholar leading to the discovery of new facts or techniques or new correlation of facts already known (analytical/ numerical and/or experimental and/or hardware/software oriented in nature), the work being of such quality that it makes a definite contribution to the advancement of scientific and technological knowledge.
- 18.3. In the case of research scholars who have copied, as confirmed by a committee, a research work thesis of his/her Ph.D. degrees, shall be rejected and his/her research registration shall be terminated and also he/she shall be debarred from registering for any other programme in this institution.

SECTION 19: PANEL OF EXAMINERS

- 19.1. The thesis shall be referred to two examiners (one from overseas) chosen by the Vice Chancellor from among the panel of examiners submitted by the Supervisor and recommended by the DC at its synopsis meeting.
- i. **Indian Examiners:** At least one examiner from any I.I.Ts./I.I.Sc./IIMs. Others may be from Institutions like N.I.Ts./Anna University /M.I.T. / other Universities / Scientists from research institutes of national importance. The examiners should have at least 5 years of research/teaching experience after receiving the Ph.D. degree.
 - ii. **Foreign Examiner:** Should be from Research Institutes / Universities/ Industries. The examiners should have at least 5 years of research/teaching experience after receiving the Ph.D. degree.
- 19.2. If any of the examiners (Indian/Overseas) in the panel has been an examiner for any other thesis submitted during the previous year, his/her name should not be included in the panel.
- 19.3. Co-authors of the research article for the particular scholar, DC members and examiners of some other scholars pursuing Ph.D in the same department should not be included in the panel

SECTION 20: THESIS EVALUATION

- 20.1. The examiner is expected to send the evaluation report on the thesis within two months from the date of receipt of the thesis.
- 20.2. In case of undue delay in receiving the evaluation report after 2 months, the Vice Chancellor / Controller of Examinations / Dean (Research) shall appoint another examiner from the panel for evaluating the thesis.

- 20.3. If reports of two examiners declare the thesis as commended, the DC will consider the reports and recommend for conduct of oral examination, which will be conducted normally not earlier than two weeks from the date of conduct of final DC meeting. The DC will suggest a list containing 3 names of subject experts to the Viva-Voce Examination Board. One of the examiners nominated by Vice Chancellor for the Public Viva Voce examination will be called for.
- 20.4. If an examiner suggests resubmission of the thesis, after revision, the research scholar will be allowed to resubmit the thesis within the time stipulated by the DC, failing which, the revised thesis will not be accepted and his/her registration will be cancelled.
- 20.5. If both the examiners declare the thesis as not commended then the registration of the scholar shall stand cancelled.
- 20.6. If one examiner commended and other as not commended, the thesis shall be referred to a third examiner from the panel for his / her evaluation.
- 20.7. If the third examiner commended, the thesis may be considered for awarding Ph.D after the recommendation of oral Viva-Voce examination board.
- 20.8. If the third examiner also reports the thesis as not commended, on the request of the candidate, a period of six month duration may be considered for resubmission of the thesis with incorporation of the suggestions given by the all examiners. The thesis will be re-evaluated by a new panel given by the Supervisor. If the new panel reports as commended, the thesis will be considered for award of Ph.D. after the recommendation of the Viva-Voce examination board or else the registration of the scholar shall stand cancelled.

20.9. In all the other cases, not covered by the above regulations, the matter will be referred to the DC for consideration.

SECTION 21: PUBLIC VIVA VOCE EXAMINATION

21.1 The following is the composition of the Public Viva-Voce Examination Board:

1. Research Supervisor – Convener
2. A specialist in the subject nominated by the Vice- Chancellor from the panel of examiners approved by the DC.
3. The DC members of the Research Scholar concerned will be invitees but not as DC members to the Public Viva-Voce examination.

21.2. The Public Viva-Voce Examination Board will examine the scholar on the thesis work and evaluate the scholar's performance as satisfactory or otherwise.

21.3. If the report of the Viva-Voce Examination Board declares the performance of the research scholar as not satisfactory, the research scholar may be asked to reappear for viva voce examination at a later date (not earlier than a month and not later than six months from the date of the first oral examination). On the second occasion also, the Viva- Voce Examination Board will include the members as mentioned above.

21.4. If the thesis Viva Voce Examination Board on the second occasion also evaluates the performance of the research scholar as not satisfactory, the matter will be referred to the Academic Council for a decision.

21.5. The Viva Voce Examination Board may also recommend revision to be made in the final version of the thesis after taking into consideration suggestions of the examiners who evaluated the thesis and the discussion at the oral examination. The Convener of

the Viva Voce Examination Board shall forward the thesis to the Dean (Research) along with the report of the Viva-Voce Examination Board.

- 21.6. Final version of thesis (soft copy) and scanned copies of declaration and certificate will be uploaded in UGC website (Sudhaganga inflibnet) for the benefit of research community around the world.

SECTION 22: AWARD OF Ph.D. DEGREE

- 22.1. If the performance of the research scholar in the Viva-Voce examination is satisfactory, the candidate will be awarded Ph.D. degree on the recommendation of the Academic Council and with the approval of the Board of Management of PMIST.
- 22.2. Plagiarism of any sort is strictly prohibited. Even after the award of Ph.D Degree, if it is found that the candidate has indulged in some sort of plagiarism in his thesis, his/her degree would be withdrawn by the institution and the candidate will be debarred from any further registration in PMIST, after the decision being taken by high level research committee.
- 22.3. If it is found by PMIST that the Supervisor has also abetted the crime, the Supervisor ship of the supervisor would be permanently cancelled and the candidates registered under him/ her will be transferred to other Supervisors in consultation with the scholars, after the decision being taken by high level research committee.

SECTION 23: POWER TO MODIFY

Notwithstanding any of the provisions stated above, the Vice Chancellor has powers to modify them individually or in to. In case of any dispute/ discrepancy, the matter shall be referred to the Vice Chancellor for his / her counsel whose decision will be final.