

KIET DEEMED TO BE UNIVERSITY
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Rules and Regulations
Governing
Ph.D. Program

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REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) 2026-27

PREAMBLE

The Ph.D. program aims to promote excellence in research and innovation.

These regulations set forth the standards for the Doctor of Philosophy (Ph.D.) degree. The procedures herein adhere to the guidelines prescribed by the University Grants Commission (Minimum Standards and Procedure for Award of the Ph.D. Degree) Regulations, 2022.

1. PRELIMINARY

1.1 SHORT TITLE AND COMMENCEMENT

These regulations shall be known as the **“Regulations Governing the Degree of Doctor of Philosophy (Ph.D.)”** and shall apply to all doctoral programs offered by **KIET Deemed to be University, Ghaziabad**.

1.2 AMENDMENTS AND NOTIFICATIONS

The University reserves the right to amend these regulations periodically, based on the recommendations of the Academic Council. All such amendments shall take effect from the date of notification by the University.

1.3 DEFINITIONS

In these Regulations, unless the context requires otherwise:

- **‘BOS’** means the Board of Studies of the respective Department/School, responsible for all academic matters and curriculum oversight.
- **‘CDAC’** means the Central Doctoral Advisory Committee, the apex body governing doctoral research at the University level.
- **‘Course Work’** refers to the mandatory courses prescribed by the DDAC & CDAC which a candidate must successfully complete as a pre-requisite for doctoral registration.
- **‘DDAC’** means the Departmental Doctoral Advisory Committee.
- **‘DPET’** refers to the Doctoral Program Entrance Test, the qualifying examination (written and interview) conducted by the University for admission to the Ph.D. program.
- **‘Full-Time Scholar’** refers to a research scholar who pursues their doctoral studies on a full-time basis, remaining on campus for the duration of the program.
- **‘Part-Time Scholar’** refers to a research scholar who is in external employment or has other commitments and pursues research on a part-time basis.
- **‘Ph.D.’** means the Degree of Doctor of Philosophy.
- **‘Research Supervisor’** means a qualified faculty member of the University, duly recognized and authorized to guide and supervise the research work of a Ph.D. candidate.
- **‘Co-Supervisor’** means an additional recognized supervisor who guides the research work of a candidate in conjunction with the Research Supervisor.

- ‘UGC’ refers to the University Grants Commission, established under the UGC Act, 1956.
- ‘University’ means KIET Deemed to be University, Delhi NCR, Ghaziabad, India.

2. GOVERNANCE STRUCTURE OF DOCTORAL PROGRAMS

To ensure rigorous academic standards and effective administration, the Doctoral Program shall be governed through a two-tier advisory structure, followed by the supervision framework under the designated Supervisor(s).

1. **CDAC:** Central Doctoral Advisory Committee (Institutional Level)
2. **DDAC:** Departmental Doctoral Advisory Committee (Department/School Level)

2.1 Central Doctoral Advisory Committee (CDAC)

Definition & Constitution: The CDAC is the apex body responsible for the strategic oversight, policy formulation, and quality assurance of doctoral programs. It is constituted by the **Vice Chancellor** and approved by the **Academic Council**.

Composition:

- **Chairperson:** Vice Chancellor
- **Members:**
 - Pro Vice Chancellor
 - Director Academics
 - Associate Deans- Computing and Non-Computing (KSODP)
 - One External Expert from Computing Domain
 - One External Expert from Non-Computing Domain
 - **Member Secretary:** One of the Members to be nominated by Vice-Chancellor amongst the members

Mandate & Functions: The CDAC shall:

- **Policy Formulation:** Formulate and amend Ph.D. regulations, quality standards, and operational guidelines to ensure alignment with UGC/AICTE and international norms.
- **Standardization:** Review and approve departmental protocols to ensure uniformity in research quality across disciplines.
- **Oversight:** Monitor the macro-level progress of doctoral programs and conduct periodic academic audits.
- **Governance & Ethics:** Serve as the final authority on interdisciplinary issues, ethical compliance, plagiarism policies, and doctoral governance.

The CDAC Chairperson shall be authorized to take decisions on behalf of the CDAC, in routine administrative matters which shall be placed before the CDAC in its subsequent meeting for ratification. The quorum for a CDAC meeting shall be constituted by the presence of at least two-thirds of its members.

2.2 Departmental Doctoral Advisory Committee (DDAC)

Definition & Constitution: The DDAC is the executive body responsible for the operational management of the Ph.D. program within a specific department/School. It is constituted by the **Dean of the Department/School** and approved by the **Academic Council**.

Composition:

- **Chairperson:** Dean of the Department
- **Members:** Two Professors, Two Associate Professors, Two Assistant Professors
- **Secretary:** One of the Members to be nominated by Chairperson.
(All Members must hold a Ph.D. Degree)

Mandate & Functions: The DDAC shall:

- **Admissions:** Conduct the scrutiny and interview process for Ph.D. applicants.
- **Governance:** Serve as the final authority on issues, ethical compliance, plagiarism policies, and doctoral governance related to the Department/School.
- **Course work Curriculum:** To approve the courses to be run as part of the course work in the Department/School.
- **Conflict Resolution:** Adjudicate escalations or appeals regarding registration, supervisor allocation, or academic disputes at the Department/School Level.
- DDAC should be responsible for overall growth and quality of PhD program in the Department/School.

DDAC Should meet at least once in a semester and the minimum quorum of the meeting should be two third of its members. The Chairperson of DDAC is authorized to take decisions on behalf of DDAC on routine administrative matters that must be brought to DDAC in its next meeting for ratification.

For an individual scholar, the Supervisor and/or Co-Supervisor will be allocated by the DDAC. The role of Supervisor and/or Co-Supervisor shall be as follows

- **Academic Guidance:** Advise, guide, mentor and motivate the scholar on the research trajectory and identify mandatory and elective **Coursework**.
- **Periodic Review:** Convene regularly to review progress, troubleshoot challenges, and set goals for the next phase.
- **Approvals:** Supervisors are responsible for arranging Comprehensive Meeting, Research Plan meeting, Semester Progress Review Meeting and Synopsis Meeting of the candidate and give satisfactory/unsatisfactory approval.
- **Documentation:** Maintain detailed progress reports and give comments in the approved format.
- **Grievance Redressal:** Serve as the first point of contact for any academic grievances or requests from the scholar.

3. RESEARCH PROGRAM AND CLASSIFICATION OF SCHOLARS

3.1 Discipline & Research areas

The University shall permit the registration for Ph.D. in the **following streams** viz.

a) Engineering and Technology

- **School of Computer Science & Engineering and Artificial Intelligence**
- **School of Engineering and Technology (Electrical Engineering)**
- **School of Engineering and Technology (Electronics Engineering)**
- **School of Engineering and Technology (Mechanical Engineering)**

- b) School of Pharmacy
- c) School of Applied Science & Humanities (English)
- d) School of Applied Science & Humanities (Physics)
- e) School of Applied Science & Humanities (Chemistry)
- f) School of Applied Science & Humanities (Mathematics)
- g) School of Management
- h) School of Computer Science (MCA)
- i) Any other Specializations and Topics in which the faculty supervision/expertise is available in KIET.

3.2 Classification of Ph.D. Candidates

Candidates admitted to the Ph.D. program shall be classified into the following two distinct categories:

3.2.1 Full-Time Research Scholars

Candidates in this category shall pursue their research on a regular, full-time basis on the University campus. They are classified as follows:

3.2.1.1 Non-Employed (Stipendiary/Self-Financed):

- These candidates must dedicate their full working time to research and academic duties assigned by the Department.
- They are **not permitted** to hold any other employment (full-time, part-time, or ad-hoc) or engage in any profit-making activity during the tenure of their Ph.D. program.

3.2.1.2 Sponsored (Study Leave):

- Candidates who are permanently employed in a recognized organization (Government/Private/Academic) shall also be admitted as Full-Time scholars.
- **Requirement:** They must produce a **Relieving Order** and a **Study Leave Sanction Letter** from their employer for a minimum duration of **three years** at the time of admission.

3.2.2 Part-Time Research Scholars

Candidates in this category are professionally employed and can pursue their research while continuing their service obligations. They are expected to fulfill the minimum requirements as defined by the University.

3.2.2.1 Internal Scholars (KIET Faculty/Staff):

Regular faculty members or staff of **KIET Deemed to be University, Ghaziabad**, are eligible to register under this category.

3.2.2.2 External Scholars:

Candidates working in Reputed Academia, Industry, R&D Organizations, Defense, or the Public Sector may register as External Part-Time scholars.

- **Mandatory Requirements for Part-Time Candidates (NOC)** All Part-Time candidates (External) must submit a **“No Objection Certificate” (NOC)** from the appropriate authority of their employing organization at the time of application. The NOC must explicitly state that:

1. **Permission:** The candidate is permitted to pursue Ph.D. studies on a Part-Time basis.

2. **Feasibility:** The candidate's official duties permit sufficient time for research activities.
3. **Academic Availability:** The candidate will be granted leave to attend scheduled examinations, doctoral reviews, and synopsis/thesis presentations as required by the University.

3.2.2.3 Self-Employed and Independent Scholars: Candidates who are self-employed, entrepreneurs, or engaged in independent professional activities that preclude Full-Time residency may apply under the Part-Time category.

Exemption: Candidates falling under this category shall be exempted from the requirement of submitting a "No Objection Certificate (NOC)". However, such candidates shall be required to submit a duly signed self-declaration stating that they are not currently employed. Further, in the event of securing employment at any stage, the candidate shall undertake to submit the requisite NOC/approval letter from the concerned organization to the University without delay.

3.3 Research Outside the University

A Full-Time Research Scholar may be permitted to carry out a portion of their research work at a reputed National or International Institution, Research Laboratory, or Industry for a maximum period of one and a half year. During this period, the scholar shall not be permitted to engage in any part-time or other employment at any other organization.

- **Procedure:** The request shall be duly recommended by the Research Supervisor and subsequently submitted to the DDAC for its final approval.
- **Continuity:** The approved period shall be considered as a part of the minimum Ph.D. tenure requirement for the Ph.D. program.
- **Progress Reporting:** The research scholar shall continue to submit periodic progress reports to the Research Supervisor throughout the approved period.
- **Fellowship:** The monthly fellowship of the candidate shall not be disbursed during this period.

4. CHANGE OF REGISTRATION STATUS

4.1 Conversion from Full-Time to Part-Time Status

A Full-Time research scholar who secures professional employment during the tenure of the program may request to convert their registration to the Part-Time category. This conversion is a **one-time concession** on the recommendation by the **DDAC**.

Upon conversion, the scholar shall immediately cease to be eligible for any University Research Fellowship, Stipend, or Assistantship. The security deposit paid at the time of admission shall be **forfeited** and will not be refunded or adjusted against future fees.

Further, any scholar who converts their registration from Full-Time to Part-Time shall be required to refund the entire amount of stipend or financial assistance received from the University during the Full-Time tenure.

Request for conversion from Full Time to Part Time status if received from any candidate will be considered at the discretion of CDAC.

5. PH.D. ASSISTANTSHIP AND FINANCIAL SUPPORT

The award of the University Ph.D. Assistantship is a privilege based on merit, availability of funds, and academic performance; it **cannot be claimed as a matter of right**.

5.1 Adjustment for External/Government Funding

To ensure equitable distribution of resources, the following rules apply to scholars who secure external funding (e.g., UGC-JRF, CSIR-SRF, DST-INSPIRE, or other Government Scholarships):

5.1.1 JRF/SRF etc. candidates receiving any external/government fellowship, the university will release the amount of fellowship as per the university norms.

5.1.2 The Full-Time candidate shall not be permitted to draw any other fellowship, salary, or financial assistance during the tenure without prior approval of the Competent Authority.

5.1.3 **Resumption Clause:** If the external funding concludes before the completion of the standard 3-year duration (and the scholar is still eligible), the University Assistantship shall resume for the remaining tenure, subject to satisfactory progress and after the approval of CDAC.

5.2 Conditions for Continuation of Assistantship

The Assistantship is contingent upon the scholar's performance in two areas:

5.2.1 Research Progress: Satisfactory periodic reviews by the Supervisor and/or Co-Supervisor.

5.2.2 Teaching/Academic Duties: Scholars receiving assistance are required to perform eight hours of academic workload per week (labs, tutorials, invigilation). Fellowship will not be continued beyond 3 years under any circumstances.

5.3 Termination of Assistantship

The University reserves the right to **terminate** the Assistantship immediately under the following circumstances, based on the recommendation of the DDAC:

5.3.1 Disciplinary Action: Proven misconduct or violation of the University Code of Conduct.

5.3.2 Unsatisfactory Progress: Failure to meet research milestones as recorded by the Supervisor and/or Co-Supervisor.

5.3.3 Cancellation of Registration: If the Ph.D. registration is cancelled for any reason, the Assistantship ceases immediately.

- **Financial Penalty:** In cases of cancellation due to disciplinary issues, abandonment of the program, unsatisfactory progress, the **Security Deposit shall be forfeited** and will not be refunded.
- **Undertaking:** Every candidate admitted to the Ph.D. program shall be required to sign an undertaking affirming adherence to the University's moral and code of conduct.

5.4 Duration of Research Assistantship Stipend

The maximum duration of the Research Assistantship stipend for Full-Time Ph.D. candidates shall be limited to six semesters (three years) from the date of commencement of Course. Under no circumstances shall the fellowship stipend be awarded beyond the completion of three years of the program.

6. ELIGIBILITY AND ADMISSION CRITERIA

Admission to the Ph.D. program at KIET Deemed to be University is strictly based on the following criteria. All qualifying degrees and academic programs must be recognized by the UGC or AICTE.

6.1 Provisional Admission (Result Awaited Candidates)

Candidates in the final year of their qualifying degree, whose results are not yet declared by the application deadline, may apply for admission in the **July Cycle (Summer Batch)** subject to the following strict conditions:

6.1.1 Submission Deadline: The candidate must produce the final result/mark sheet showing they have passed with the required percentage/grade on or before **October 30th** of the admission year.

6.1.2 Cancellation of Admission: Failure to submit the proof of qualification by the stipulated date will result in the automatic cancellation of the provisional admission.

6.1.3 Fee Forfeiture: In the event of cancellation due to non-submission of results or failure to meet the eligibility criteria:

- The fees deposited at the time of admission shall be **forfeited** and will not be refunded.
- *Carry Forward Provision:* At the discretion of the University, a portion of the deposited fee may be credited/adjusted if the candidate successfully reapplies and qualifies for admission in the immediate next academic session.

6.1.4 Applicability: This provisional admission facility is applicable **only for the July Admission Cycle** and is not available for the January Admission Cycle (Winter Batch).

6.1.5 Verification: The Registrar's Office shall verify all documents. If the result is not submitted by October 30th, the Registrar shall notify the cancellation within one month.

6.2 Academic Qualifications:

6.2.1 Route A (Master's Degree): Minimum 55% aggregate for the General category; 50% for Reserved categories (SC/ST/OBC (non-creamy layer), EWS, and differently abled candidates.).

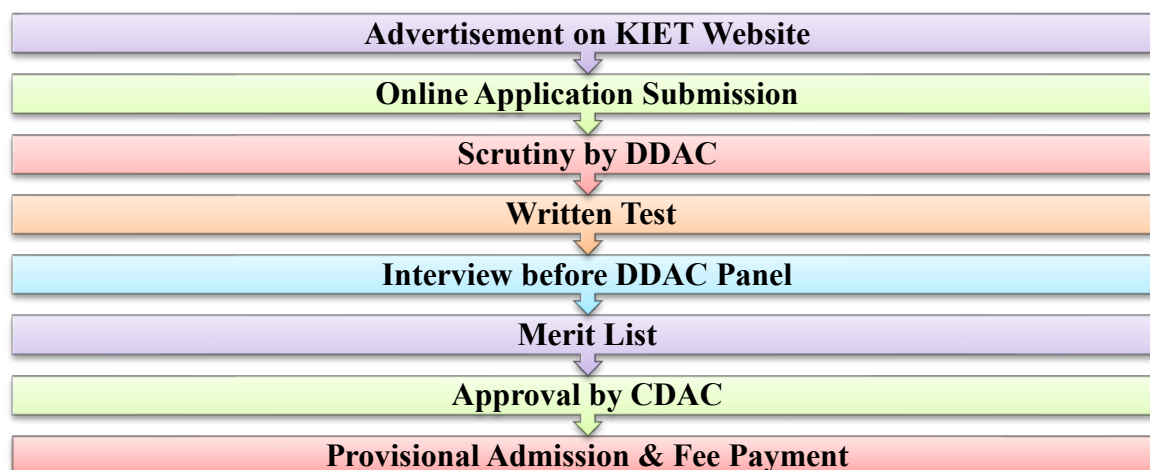
6.2.2 Route B (4-Year Bachelor's with Research): Minimum 7.5 CGPA (or 75%) for the General category; 7.0 CGPA (or 70%) for Reserved categories (SC/ST/OBC (non-creamy layer), EWS, and differently abled candidates.).

The highest degree will be considered as the qualifying degree type (Master's / 4-year UG (Research)).

7. ADMISSION PROCEDURE AND SELECTION PROCESS

Admissions are conducted **twice a year (January & July)** through a merit-based process involving a DPET which includes both Entrance test and Interview.

Ph.D. Admission Process:



Note: Candidates qualified in **UGC-NET/JRF/GATE/GPAT or equivalent examination** may be exempted from the Entrance Test but must appear for the interview. However, the rank/percentile of above qualified exam must be valid at the time of submission of application.

7.1 Notification of Admission

- The university shall release advertisements on KIET website and social media at the appropriate time with the number of vacancies. There shall be normally 2 sessions in a year for registration in January and July, subject to vacancies.
- The application form may be completed through the advertisement available on the KIET website at: <https://www.kiet.edu/doctoral-program/>.

7.2 Scrutiny of Applications

All applications shall be initially scrutinized by the Departmental Doctoral Advisory Committee (DDAC) to verify eligibility. The list of eligible candidates, along with the DDAC's recommendations, shall be forwarded to the CDAC for its final approval.

7.3 Doctoral Program Entrance Test (DPET)

- The CDAC Chairperson will nominate one DDAC Chairperson as Coordinator for DPET Written Test. The designated coordinator shall conduct the **Doctoral Program Entrance Test** for all eligible candidates.
- **Qualifying Criteria:** Candidates must secure the minimum qualifying marks (Cutoff) as determined by the CDAC to be eligible for the admission.

7.4 Exemption from DPET Written Test

The following categories of candidates are **exempted** from the written DPET and may appear directly for the Interview/Viva-Voce:

- **Qualified National Level Tests:** Candidates who have qualified UGC-NET (including JRF), UGC-CSIR NET (including JRF), SLET, GATE, GPAT or are Teacher Fellowship holders, provided their scores are within the validity period or any other equivalent exam/credentials approved by CDAC.
- The validity of these exams is mentioned below as:

S. No	Examination / Fellowship	Category	Validity Duration	Remarks
1	UGC-NET	Assistant Professor	Lifetime	No expiry of eligibility

	UGC-NET	Junior Research Assistant/Fellow	3 Years	From date of issue of award letter
2	CSIR-UGC NET	Assistant Professor	Lifetime	No expiry
	CSIR-UGC NET	Junior Research Fellow	2 Years	From effective date mentioned in award
3	SLET	Assistant Professor	Lifetime	Valid primarily in the state of qualification
4	GATE	Score Validity	3 Years	From date of result declaration
5	GPAT	Score Validity	3 Years	For admission and scholarship purposes
6	Teacher Fellowship	Fellowship Tenure	2–5 Years (Typically)	As per scheme guidelines and award

7.5 DPET Interview

All candidate called for admission shall be present for an interview before the **Interview Panel approved by CDAC Chairperson.**

7.5.1 Interview Panel Composition:

- DDAC Committee
- One Professor/Associate Professor Member from another Department nominated by CDAC as representative.

7.5.2 Assessment Criteria: The interview shall assess the candidate on:

1. Domain Knowledge & Technical Competence
2. Clarity, Feasibility & Communication Skills
3. Motivation & Work-Research Alignment.

7.5.3 Final Weightage for Selection: For candidates appearing through the DPET, the final merit list shall be prepared using the following parameters

- ⊖ **Entrance Test Performance**
- **Performance in Interview**

For candidates exempted from the written test, only the interview score shall be considered and will be normalized to ensure equivalence with candidates who have appeared for the written test.

7.6 Allocation of Research Supervisor

Post-selection, the allocation of the Research Supervisor shall be decided by the DDAC in a formal meeting, based on:

- Available vacancies with the supervisors.
- The research interest of the scholar.
- The expertise of the supervisor.

The DDAC will allocate the Research Supervisor/Co -Supervisor after the successful completion of the coursework.

7.7 Merit List and Admission

7.7.1 Publication: The final list of candidates selected for admission must be prepared by

the DDAC and after its approval by the CDAC, shall be published on the University website.

7.7.2 Provisional Admission: Selected candidates shall be issued a provisional offer letter. Admission is confirmed only upon:

- Payment of the prescribed tuition and registration fees.
- Successful verification of all original documents.

7.7.3 Revocation Clause: The University reserves the right to **revoke admission** at any stage if it is found that the candidate provided false information or failed to fulfil the eligibility criteria, even after the payment of fees.

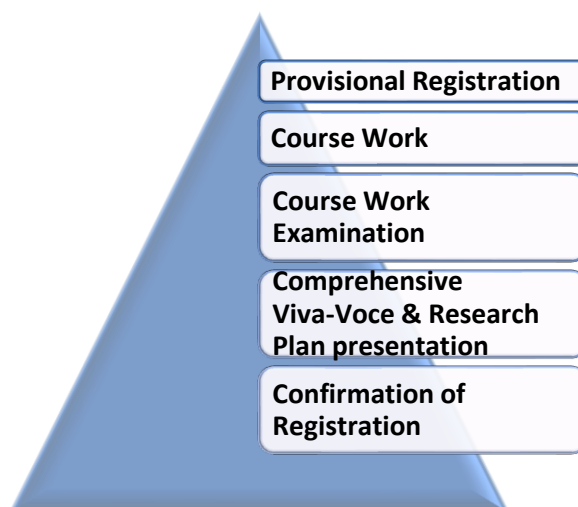
7.8 Scholarship Criteria: The scholarship amount shall be determined based on the total score obtained by the candidate in accordance with the rubrics approved by the University. The same shall be communicated to the DDAC from time to time.

8. REGISTRATION & DURATION OF THE PROGRAM

8.1 Provisional Registration

All selected candidates are first **provisionally registered**. Final registration is confirmed only after successful completion of coursework and the comprehensive Viva-Voce.

Registration & Coursework



8.2 Course Work Components are:

- Research Methodology & Scientific Writing (4 credits)
- Research & Publication Ethics (3 credits)
- Domain-Specific Advanced Course (1 Course of 3 credits for candidates admitting on the basis of PG; 3 additional Courses of 4 credits each for candidates admitting after 4 Years B.Tech. with Research Degree)
- Literature Review & Seminar (2 credits)

All the selected candidates are required to pay the prescribed fees and sign an undertaking with regard to the IPR policy, moral code of conduct of the University and any other issues relevant to the academic research program at the time of initial registration to the Ph.D. program.

Comprehensive viva voce will be conducted after satisfactory completion of course work

to evaluate the domain knowledge of the candidate.

The University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/School), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website of the University and update this list every semester.

The Fees once paid will not be refunded under any circumstances.

8.3 Duration of the program

- The duration of the Ph.D. program and the time for submission of thesis are counted from the date of enrollment to the Ph.D. program.
- Ph.D. Program shall be for a minimum duration of three (3) years for Full time/ Part Time students with a maximum duration of six (6) years.
- Minimum duration for a candidate taking admission to Ph.D. program directly after B.Tech / 4 Year UG course is three years and a maximum of six (6) years for full time/part time students including course work from the date of enrollment to the Ph.D. program.

After the minimum duration the candidate needs to take extension for every semester so that the total period for completion of a Ph.D. program should not exceed six (6) years from the date of admission in the Ph.D. program. Any additional time required beyond this period will be granted only with the approval of the CDAC Chairperson. A fee, as approved by CDAC, will be charged for granting such permission.

For the candidates with exceptional performance, the minimum duration of Ph.D. program may be reduced after the approval of Vice Chancellor.

9. STRUCTURE OF FEE PAYABLE

All Research scholars registered for Ph.D. program, are required to remit/pay fee(s), as applicable to the University, for the following purposes:

- Application fee
- Semester wise Tuition fee
- One-time Examination Fee
- Thesis Submission Fee
- Final Viva Voce Fee
- Alumni and Convocation Fee

In case of extension of the Ph.D. program from the 6th to the 7th year, both Full-time candidates & Part-time candidates shall pay a full one-year fee as decided by the University.

10. Ph.D. PROGRAM STRUCTURE

On receipt of provisional registration of the candidate, the program of the candidate shall consist of following parts to be cleared in sequence, viz.

- **Part 1- Course Work**
- **Part 2 - Comprehensive Viva and Research Plan Presentation**
- **Part 3- Semester Progress Presentations**
- **Part 4 - Synopsis Seminar, Thesis Submission and Viva- Voce Examination.**

10.1 COURSE WORK AND EVALUATION

10.1.1 Mandatory Course Work Credits

Course work is a mandatory prerequisite for Ph.D. preparation. Every provisionally registered candidate must satisfy a minimum requirement of **12 Credits** (as per UGC Guidelines). The course work must be completed within the **first semester** (6 months) from the date of admission.

10.1.2 Course Structure

The curriculum is divided into four papers as detailed below:

Paper Code	Course Title	Credits
Paper-I	Research Methodology & Scientific Writing	04
	<i>Syllabus:</i> Fundamental concepts of research, research ethics, good laboratory practices (GLP), advanced statistical methods (quantitative/qualitative), computational techniques, and tools.	
Paper-II	Research and Publication Ethics (RPE)	03
	<i>Syllabus:</i> Philosophy of science, research integrity, publication ethics, identifying predatory journals, indexing/citation databases, open access, research metrics (h-index, Impact Factor), and plagiarism software tools.	
Paper-III	Domain Specific Course	03
	<i>Description:</i> Advanced level course relevant to the scholar's specific area of research. The course shall be selected from a list of approved electives by the Research Scholar in consultation with the DDAC.	
Paper-IV	Literature Review & Seminar	02
	<i>Assessment:</i> Critical analysis of literature, identification of research gaps, novelty of the proposed topic, and quality of oral/written presentation.	
TOTAL		12

Candidates taking admission with UG qualification are supposed to take three more courses of 4 credit each related to the domain of their research work. They are required to fulfil the total 24 Credit requirements for the course work.

Each scholar is expected to possess a minimum of 75% attendance in course work (10% relaxation in attendance shall be permitted on valid reasons provided with the concurrence and permission of the DDAC).

10.1.3 Passing Standards (Crucial Compliance Clause)

To successfully clear the Ph.D. Course Work, a scholar must fulfil the following criteria:

- **Minimum Marks:** A candidate shall be permitted to appear in the End Semester Examination of the Ph.D. Course Work only if he/she has maintained a minimum attendance of 75% in each course. The candidate must obtain minimum 55% marks in individual subject as well as overall marks to qualify the course work. The rubrics for converting marks into grades is as follow:

S. No.	Grade	Grade point	Equivalent marks in subjects
1	A+	10	Above 90%
2	A	9	Between 80-90%
3	B+	8	Between 70-80%
4	B	7	Between 60-70%
5	C+	6	Between 55-60%
6	F		Less than 55%

- **Continuity:** Completion of the course work with the requisite grade is a strict condition to proceed with the doctoral research.

10.1.4 Examination Procedure

Schedule: The Course Work Examination shall be centralized and conducted by the **Controller of Examinations (COE)** at the end of the first semester.

Eligibility: Students must submit the examination form along with the requisite fee and must have fulfilled the minimum attendance requirements recommended by the DDAC.

10.1.5 Re-Appeal and Failure

- **Re-Appeal:** A scholar who fails to secure the minimum pass marks (55%) in one or more papers may be permitted to reappear for the examination in the subsequent semester. Candidate may apply for improvement of grades in one or more courses if this requirement is not met.
- **Maximum Attempts:**
A Full time/Part time candidate is allowed a maximum of 2 attempts to clear the course work.
Cancellation: If a candidate fails to complete the course work requirements within the stipulated timeline as mentioned above their provisional registration shall be **cancelled automatically**, and the candidate must seek fresh admission.
- **Medical Exemption:** In cases of valid, documented medical emergencies, the CDAC Chairperson may grant a special permission for another attempt upon payment of a prescribed penalty fee. CDAC Chairperson may give a special supplementary chance to the candidate due to valid reasons for doing so. Candidate will be required to deposit extra charges as per the University policy.

10.2 PRE-PH.D. COMPREHENSIVE VIVA-VOCE & RESEARCH PLAN PRESENTATION

The Comprehensive Viva-Voce & Research Plan Presentation is a mandatory assessment designed to evaluate the scholar's mastery of their specific domain and their readiness to undertake advanced research and the scholar must formalize their specific research topic and methodology.

10.2.1 Timing and Eligibility

- **Schedule:** This Viva cum Presentation shall be conducted within 45 days after the successful completion of the Course Work.
- Full-time candidates must complete the Pre-Ph.D. Comprehensive Viva Voce and Research Plan Presentation within a maximum period of one year from the date of admission.

- For part-time candidates, the maximum duration shall be two years from the date of admission. Failure to comply with this requirement will result in cancellation of registration. In exceptional circumstances, CDAC Chairperson may allow for an additional chance.
- In both the cases if the performance is unsatisfactory, the candidate is permitted **one additional opportunity** to reappear for the Viva-Voce within a maximum period of 45 more days.

10.2.2 Assessment Process:

- **Conducting Body:** The assessment shall be conducted by the Members of DDAC.
- **Content:** The plan must include the proposed Title, Literature Review, Research Gap, Objectives, Methodology, and Expected Outcomes.

10.2.3 Presentation and Approval

- **Evaluation:** The DDAC shall convene a formal meeting where the scholar will present and defend their Research Plan.
- **Refinements:** The members of DDAC may suggest modifications to the Title or Methodology. The scholar must incorporate these changes before final submission.
- **Final Approval:** The members of DDAC shall approve its recommendation (along with the finalized Title and Synopsis).

10.2.4 Confirmation of Registration

- **Confirmation Letter:** Upon approval by the CDAC, the scholar's status changes from "Provisional Registration" to "**Confirmed Registration.**" A formal confirmation about the Research Topic, Objectives and Supervisor(s) will be issued by the DDAC.
- **Cancellation:** If a scholar fails to get their Research Plan approved within the stipulated time from the date of admission, their admission shall stand cancelled. One semester extension may be allowed on payment of requisite extension fee.

10.3 SEMESTER PROGRESS REVIEW AND PRESENTATION

After the confirmation of registration, the academic progress of every research scholar shall be monitored continuously by the DDAC. DDAC must invite external experts also.

10.3.1 Frequency and Schedule

- **Mandatory Requirement:** Progress Presentation for the review of the performance of full-time PhD candidates will be conducted three times a year, while for part-time candidates, it will be conducted twice a year. Every registered scholar (Full-Time and Part-Time) must submit a written Progress Report and appear for a Progress Presentation whenever called for the same.
- **Non-Negotiable:** Failure to submit the report or appear for the presentation without valid leave/permission may lead to a "Not Satisfactory" grade by default.

10.3.2 Procedure

10.3.2.1 Submission: The scholar must submit a **Progress Report** in the prescribed format to the Supervisor and/or Co-Supervisor Members at least one week prior to the presentation. The report must detail:

- Literature survey.
- Experiments/Fieldwork conducted.
- Data collection and analysis.
- Publications/Conferences attended.
- Plan of action for the next semester.

10.3.2.2 Presentation: The scholar shall present their work before the Supervisor and/or Co-Supervisor. The committee will evaluate the **quality and quantity** of the work against the approved Research Plan.

10.3.2.3 Feedback: The Supervisor and/or Co-Supervisor shall provide constructive written feedback and specific goals for the upcoming semester.

10.3.3 Evaluation and Grading

The Supervisor and/or Co-Supervisor shall evaluate the progress and grade the performance as either "**Satisfactory**" or "**Unsatisfactory**" with specific remarks.

10.3.3.1 Satisfactory: The scholar is permitted to continue to the next phase.

10.3.3.2 Unsatisfactory:

- If the progress is adjudged "**Unsatisfactory**," the Supervisor and/or Co-Supervisor must record the specific reasons for the same.
- **Corrective Action:** The scholar shall be issued a formal **Warning Letter** and given a specific timeframe (e.g., 2 months) to address the deficiencies. A **Re-Review** presentation will be conducted at the end of this period after payment of repeat fee.
- **Outcome:** If the performance in the Re-Review is satisfactory, the progress performance grade will be updated.

10.3.4 Cancellation Due to Poor Progress

In accordance with UGC regulations:

- If a scholar receives **two consecutive "Unsatisfactory"** gradings (despite the opportunities for corrective action), the Supervisor and/or Co-Supervisor shall recommend the **Cancellation of Registration** to the DDAC.
- The DDAC, after reviewing the case, shall forward the recommendation for final termination of the scholar's admission.

10.4 PRE-SUBMISSION SYNOPSIS SEMINAR

Prior to the submission of the final Ph.D. thesis, the scholar must present their complete research work in a formal **Pre-Submission Synopsis Seminar**. This seminar serves as the final quality check to ensure the research meets the standards required for the submission of Thesis.

10.4.1 Eligibility Criteria

A scholar is eligible to apply for the Pre-Submission Seminar only if the scholar has met all the objectives of research and fulfilled the mandatory publication norms as mentioned in 12.1.

10.4.2 Procedure

- **Application:** The scholar shall submit a draft **Synopsis** to the Supervisor and/or

Co-Supervisor.

- **Notification:** The Supervisor and/or Co-Supervisor shall schedule the seminar and circulate a notification to all faculty members and research scholars of the University at least **one week** in advance.
- **Presentation:** The scholar shall present the key findings, methodology, and conclusions of their research before the **DDAC** and the audience.

10.4.3 Assessment and Feedback

The Supervisor and/or Co-Supervisor shall evaluate the presentation on the following parameters:

- Fulfilment of the original research objectives.
- Quality and quantity of the research output.
- Clarity of the thesis structure.

10.4.4 Outcomes

Based on the presentation and the feedback received from the committee and the audience:

- **Approved:** If the performance is satisfactory, the Supervisor and/or Co-Supervisor and DDAC shall grant permission to the scholar to submit the final Ph.D. thesis. The scholar must submit the thesis within **45 days** of this seminar.
- **Modifications Required:** If the committee identifies gaps or suggests improvements, the scholar must incorporate these changes into the thesis. The Supervisor must certify that the suggestions have been implemented before the thesis is accepted for submission.
- **Not Approved:** If the work is deemed insufficient, the scholar will be asked to perform additional work and reappear for the Pre-Submission Seminar after a stipulated period.

10.5 SUBMISSION AND ADJUDICATION OF THESIS

10.5.1 Constitution of the Panel of Examiners

Upon the successful completion of the Pre-Submission Seminar, the Research Supervisor shall submit a confidential panel of six (6) subject matter experts to the CDAC Chairperson for the adjudication of the thesis.

10.5.1.1 Panel Composition Criteria

- The panel shall comprise three international experts from institutions ranked within the top 300 in the QS World Rankings and three national experts from institutions ranked within the top 200 in the NIRF rankings.
- The Cadre of the panel members must be Professor/ Associate Professor.
- Panel members must hold a Ph.D. and have publications in **Q1 SCIE/SSCI** indexed journals.

Conflict of Interest: The panel members must not be related to the candidate or the supervisor, nor should they be co-authors on any of the candidate's papers during the period of the Ph.D. of the Scholar.

10.5.2 Selection of Examiners

From the approved panel, the CDAC Chairperson shall appoint a **Board of Examiners** consisting of two members to evaluate the thesis:

- **One International Expert**
- **One National Expert**

Note: In the event of a refusal or unavailability of an appointed examiner, the CDAC Chairperson shall nominate another expert from the approved panel.

11. ANTI-PLAGIARISM AND ACADEMIC INTEGRITY

Before the thesis is submitted to the Board of Examiners, it must undergo a mandatory plagiarism check.

- **Software:** The thesis must be screened using the University-approved anti-plagiarism software (e.g., Turnitin).
- **Acceptable Limits:** The similarity index must be within the permissible limits (typically <15%) as defined by the *UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018*.
- **Exclusions:** The following shall be excluded from the similarity count: the bibliography/references section, commonly used generic terms and phrases, and the candidate's own published papers are excluded from the similarity count.
- **Affiliation:** All research work included in the thesis must explicitly carry the affiliation of "**Krishna Institute of Engineering & Technology (KIET), Ghaziabad, Delhi-NCR, Uttar Pradesh**".

12. MANDATORY RESEARCH CREDITS REQUIREMENTS FOR Ph.D. CANDIDATE

The research scholar must demonstrate a consistent research output to be presented at the time of Pre Submission Synopsis Seminar. The scholar is required to earn a minimum of **12 Research Points** as per the KIET Scholar Research Points Criteria.

12.1 Conditions for Scoring

- **First Author:** For each Publication to be considered for the award of degree for Ph.D. Program, candidate must be 1st Author with KIET Affiliation and in case of Patent, KIET must be the 1st applicant.
- **Affiliation:** The publication must list "**Krishna Institute of Engineering & Technology (KIET), Ghaziabad, Delhi-NCR, Uttar Pradesh**" as the primary affiliation.
- **Supervisor Co-authorship:** The Supervisor/Co-Supervisor must be a co-author.
- Candidate must publish at least 1 paper mentioned below in Sr. No. 1 and 2 in the research point table.

Research Points Table:

S. No.	Publication Category	Points per Paper	Remarks
1	SCI/SCIE/AHCI Indexed Journal (Q1/Q2 as per WoS), ABDC Ranked Journal (A* or A)	10	Web of Science Q1 or Q2 quartile
2	SCI/SCIE/AHCI Indexed Journal (Q3/Q4 as per WoS), SSCI Indexed Journal	8	Web of Science Q3 or Q4 quartile
3	Scopus Indexed Journal (Q1/Q2), ABDC Ranked Journal (B)	5	Any Scopus-indexed journal
4	Scopus Indexed Journal (Q3/Q4)	3	Any Scopus-indexed journal
5	Conference / Book Chapter	1	Scopus indexed
6	Published Patent (Only Utility Patent)	1	Only Utility Patent

7	Patent Grant (KIET as applicant) (Only Utility Patent)	4	To be validated by CDAC
8	Technology Transfer / Startup Launch	6	To be validated by CDAC

Important Note:

- Papers and chapters must be indexed by the pre viva date and the quartile of the published paper shall be considered as per its status at the time of publication.
- Minimum one journal publication (From Sr. No 1 or 2) is mandatory as part of the point table to be eligible for thesis submission.
- Papers must have only candidate, guide and co-guide as authors.
- All papers/patents must align with research objectives.
- Evidence of a journal paper, conference paper, or book chapter shall include online availability of the publication with a DOI, including early-access publications. Evidence of a patent shall include notification or publication on the official patent website.
- The Indexing and Quartile of the article will be verified at the time of the candidate’s thesis submission.
- Maximum 2 patents are allowed to count towards the score of 12, only utility patent will be considered for obtaining this score.
- Reimbursement of publication expenses for conferences may be provided, limited to 50% of the entitlements applicable to KIET Assistant Professors, upon achievement beyond the minimum prescribed research benchmark (12 points) for the Ph.D. program, in accordance with the KIET Research Policy.
- Publication incentives may be granted, limited to 50% of the norms applicable to KIET Assistant Professors, upon achievement beyond the minimum prescribed research benchmark (12 points) for the Ph.D. programme, in accordance with the KIET Research Policy.

12.2 Submission of Final Synopsis

Once Supervisor and/or Co-Supervisor approves and seeks the permission from DDAC to conduct the pre thesis synopsis seminar of the candidate, obeying all the predefined guidelines, DDAC will conduct the pre thesis synopsis seminar. After recommendation of the successful completion of the pre thesis seminar, the candidate will submit soft copy (PDF File) of synopsis recommended by Supervisor and/or Co-Supervisor to DDAC.

The DDAC will submit the synopsis to CDAC along with following certificates:

- Application for adjudication of the synopsis
- Certificate from the Research Supervisor(s) stating the candidate’s fulfilment of various requirements.
- A certificate declaring that the research work submitted is original and has been carried out independently by the candidate. It further confirms that the work has not been previously submitted, either in part or in full, for the award of any degree or diploma at any institution. The candidate also affirms that the work does not violate any copyright provisions, and that there is no prima facie evidence of plagiarism or misconduct at this stage.

If the candidate fails to submit the synopsis within the prescribed time limit, he/she will be allowed to submit the same by the approval of authority and by paying penalty fee as per University Ph.D. guidelines.

12.3 Submission of the Thesis

The candidate shall, within 45 days of submission of the synopsis, prepare the thesis in

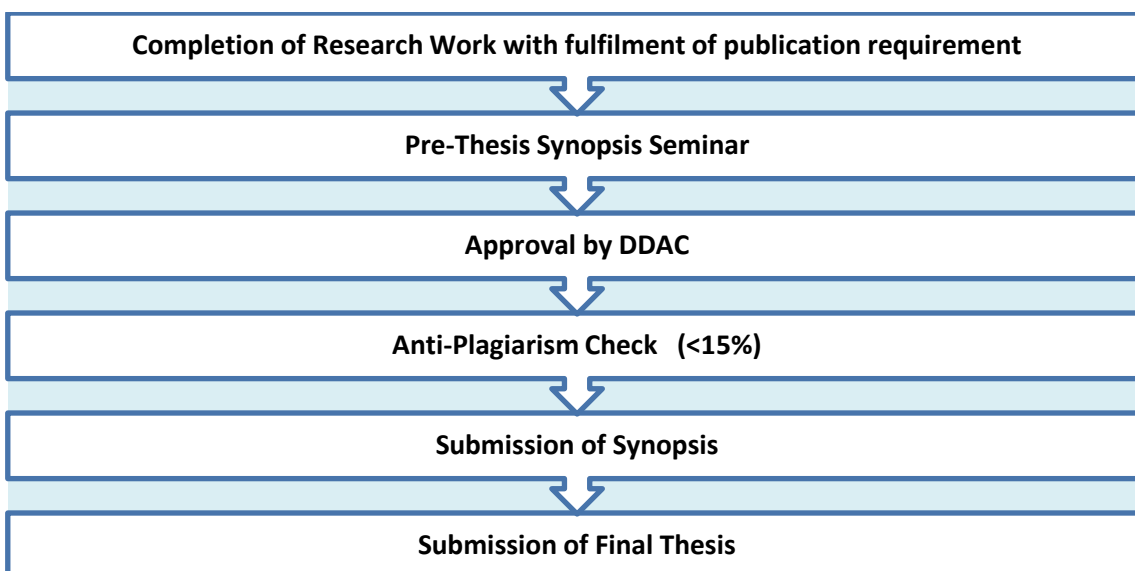
accordance with the format/specifications prescribed by the University and in an organized and scholarly fashion, highlighting the original contribution made in the research work.

Plagiarism in any form shall not exceed the prescribed limit as per the University Academic Integrity and Prevention of Plagiarism Regulations in line with UGC Regulations. Normal Plagiarism must be less than 15% and AI plagiarism must be as per the international norms. The Soft copy of the plagiarism report will also be submitted along with final thesis.

The candidate shall also pay the prescribed thesis Submission fees and viva-voce fees to the University and produce the 'No Dues Certificate' and below mentioned documents while submitting the thesis.

- Checklist for the submission of the thesis to ensure all relevant and necessary documents (e.g. Plagiarism Report, Supervisor and student undertaking stating that “No part of thesis shall have been submitted for the award of any other degree or diploma”, Declaration certificate of originality of work, Ethical Report submission etc.) have been included in the final thesis.

Pre-Thesis & Thesis Submission Process



12.4 The Act of Plagiarism / Academic Dishonesty

In case of receipt of any complaint from any adjudicator, individual or source, of suspected act of plagiarism/academic dishonesty, the CDAC Chairperson, shall have the power to constitute an expert committee to investigate into issues connected/related with Ph.D. thesis.

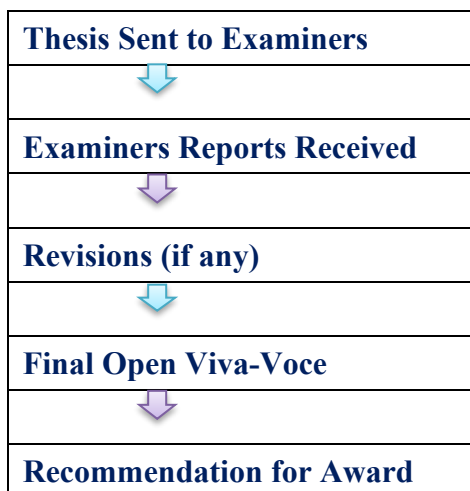
In the event of proven case of thesis being copied, plagiarized or misrepresented academically, and degree obtained by fraudulent means, the Academic Council may, on the recommendation of the expert committee/Board of Studies can:

- Withdraw the Ph.D. Degree granted to any person
- Terminate research registration
- the candidate will be debarred from registering further for any other program in this University depending on the nature of fraudulence.
- Impose a suitable penalty on the candidate

However, no such action shall be taken against any person unless the candidate has been given an opportunity to show-cause against the action proposed to be taken, consider the explanation and take further action in the matter.

13. EVALUATION OF THESIS & VIVA-VOCE EXAMINATION

Thesis Evaluation & Viva-Voce



The external examiner shall include in his/her report an overall assessment placing the Ph.D. thesis in the prescribed format of assessment including:

- A critical analysis of the work of the scholar as exemplified in the thesis and an evaluation of the work and its standard / status in terms of its contribution to the advancement of knowledge.
- Details of any question/s to be asked to the scholar or points to be clarified by the candidate at the viva-voce examination.
- A definite recommendation as to whether the Ph.D. Degree should be awarded or not.

The Examiners who evaluate the thesis shall report on the merit of the candidate for the Ph.D. degree as follows:

- The thesis to be accepted for the award of Ph.D. degree in the present form.
- The thesis to be accepted for the award of Ph.D. degree after minor corrections/revisions.
- The thesis can be passed after obtaining answers to the given questions/clarifications at the time of viva- voce.
- The thesis to be revised and resubmitted for evaluation as per the comments.
- The thesis is rejected for the valid reasons specified in the report and not recommended for award of Ph.D. degree.

On receipt of the reports from the examiners, the following procedure shall be adopted for the award of Ph.D. Degree

CDAC will communicate the reports to DDAC and the supervisor should call a meeting with them. If both examiners recommend the award of the Ph.D. Degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the oral examination.

If any examiner recommends revision and re-submission of the Ph.D. and desires to evaluate it again, the scholar shall be permitted to revise and resubmit the thesis within 45 days to six months depending on the work to be carried out, which shall be referred to the same examiner, for offering his/her final recommendation on it. In such a case, the examiner should offer his/her specific comments.

If the candidate fails to submit the revised thesis within the prescribed time limit, he/she will be allowed to submit the same by the approval of authority and by paying penalty fee as per University PhD guidelines.

If both the external examiners recommend rejection with specific valid comments, the Ph.D. thesis shall be rejected and the scholar shall be declared ineligible for award of degree and the registration of the candidate shall be cancelled. However, the student may request a one-year grace period from the CDAC Chairperson to extend the work as per the examiners' guidelines/comments, and may also request permission for re-submission of the Thesis. He/she will be allowed for the same by the approval of authority and by paying penalty fee as per University Ph.D. guidelines.

If the thesis report is not received from an examiner in six weeks, a reminder will be sent to the examiner. If no response is received from the examiner in two weeks thereafter, another examiner shall be appointed from the approved panel.

VIVA-VOCE

After receiving the final copy, the thesis (after corrections recommended by thesis evaluation experts) CDAC will conduct the final Viva-Voce of the candidate for the award of Ph.D. Degree.

Note: The **viva-voce is open**, promoting transparency and academic discussion.

The CDAC Chairperson shall choose experts from the suggested panel for the adjudication of the thesis. CDAC Chairperson can also call experts from outside the panel who may be better fit to evaluate the Viva-voce in a more professional and independent manner. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two examiners as prescribed before. The viva-voce board shall consist of the Research Supervisor/ Co Supervisor, one CDAC representative, one Interdepartmental subject expert and one external subject expert.

Each examiner may seek clarification/questions, if any, to be answered at the time of viva-voce. The candidate shall provide clarification(s) to all the queries of the examiner satisfactorily at the time of Viva-Voce.

If the performance of the scholar in the viva-voce examination is reported as NOT SATISFACTORY, the scholar may be given an opportunity but not later than six months from the date of the Oral Examination. He/she will be allowed for the same by the approval of authority and by paying penalty fee as per University Ph.D. guidelines.

If the performance of the candidate in the oral examination on the second occasion also is reported to be NOT SATISFACTORY, the CDAC Chairperson, if he/she deems it necessary, shall refer the remarks of the Oral examination board, along with the thesis and comments of the examiners, to a committee constituted by the CDAC Chairperson for this purpose and decide. The decision of the CDAC Chairperson on the recommendations of the committee shall be final.

In the case of scholars who are abroad and unable to be present physically, viva- voce examination may be held through video-conference mode as described above with the prior approval of the CDAC Chairperson. He/she will be allowed for the same by the approval

of authority and by paying penalty fee as per University Ph.D. guidelines.

After successful completion of the Viva-Voce, the Research Supervisor shall prepare and forward the Consolidated Report along with duly corrected versions of the soft copies of the thesis as well as giving specific recommendations for the award of the Ph.D. to CDAC. CDAC will finally take approval from CDAC Chairperson and notify Registrar for further issuance of the provisional and final degree.

The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis. However, in case of adverse comments by any expert or need for re-evaluation of thesis, it may take upto one year.

14. AWARD OF DEGREE

Degree Award Process



Note: The thesis is then deposited in **Shodhganga (UGC-INFLIBNET)** and the University Library.

Upon declaration of result, the University shall issue a Provisional Ph.D. degree certificate to the candidate certifying that the degree has been awarded.

The University shall award the Ph.D. degree certificate to the candidate during the forthcoming Convocation based on the recommendation by the Academic Council/Board of Studies/Board of Governors of KIET Deemed to be University, Ghaziabad, India.

However, for those candidates who have qualified for the Ph.D. Degree disciplines which are interdisciplinary in nature, the Institute may issue the Degree on the recommendations of the CDAC in the respective discipline in which they have registered and completed their Ph.D. program.

The University shall hold the copyright of all the Thesis after conferring the Ph.D. degree. Prior to the actual award of the Ph.D. degree, university shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of the UGC minimum standard and procedures for award Ph.D. Regulations 2022.

Award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these regulations.

All awarded Degrees should be reported in the next Academic Council Meeting.

14.1 Depository with UGC and the University

One soft copy of the thesis shall be submitted to UGC within thirty days for hosting the same on its Information and Library Network/SHODH Ganga (abbreviated as INFLIBNET) accessible to all the Institutions/Universities.

One copy of the thesis (both soft and hard copy) shall be placed in the University Library reference section.

14.2 Publication of Thesis

The thesis is a public domain document and the research exemplified in the thesis may be published in part in reputed journals/books.

15. DISCIPLINE & ETHICS

Every Scholar enrolled in the Ph.D. Program is expected to maintain discipline and decorum both inside and outside of the University, and shall not be involved in any conduct that could harm the University's reputation. Any act of indiscipline committed by a candidate will be investigated by the University disciplinary committee and, if necessary, disciplinary measures may be imposed.

Any unethical acts, including plagiarism, by a Scholar shall result in the dismissal from the Program and withdrawal of applicant admission. Furthermore, such an applicant shall be forbidden to apply for any program of study provided by the University. A scholar must observe the University's norms and policies.

16. DISCONTINUATION & EXIT OPTION

A scholar who wishes to discontinue the Ph.D. program may submit a formal request to the University stating valid reasons. The request shall be duly recommended by the Supervisor and/or Co-Supervisor and DDAC for further consideration.

Upon approval of discontinuation, the scholar shall be issued a certificate indicating the number of credits completed under each category at the time of exit.

The scholar shall have no claim on any fees deposited during their tenure at the University, except for the refundable security deposit, which may be released subject to fulfillment of all exit conditions and based on the final recommendation of the CDAC.

A No Objection Certificate (NOC) shall be issued only after the scholar has cleared all outstanding dues of the University. In case the scholar seeks an NOC prior to completion of the prescribed duration of the Ph.D. program, the scholar shall be required to deposit the fees equivalent to the full minimum duration of the program, i.e., three (03) years.

17. RESEARCH SUPERVISORS

17.1 Eligibility of Research Supervisors

- Permanent faculty members working either as Professor/Associate Professor/Assistant Professor are eligible for being a Supervisor/Co-Supervisor
- Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- In case of specialized/interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from inside or outside the Department/University may be appointed.
- An eligible Professor may guide up to eight (8), an Associate Professor up to six (6), and an Assistant Professor up to four (4) Ph.D. scholars at any given time.
- In the event that a Supervisor remains away from the University for a period exceeding six (06) months, the Supervisor may continue to guide the research work of the scholar, subject to approval by the University.
- To ensure continuity and administrative support, a faculty member from the same department of KIET may be nominated as a Co-Supervisor, if deemed necessary.
- Such nomination shall be recommended by the Chairperson of the Departmental Doctoral Advisory Committee (DDAC) and shall be formally approved and notified by the University.
- If the Research Supervisor leaves the University and the candidate is in advanced stage of research, he/she may be permitted to continue as a Co-Research Supervisor for his/her scholar(s), subject to approval by the University. Alternatively, a new Research Supervisor working as Full time Faculty in KIET recommended by the CDAC will be appointed and notified by the University.
- A Research Supervisor shall not opt to become Co-Supervisor for more than five candidates at any time. No Research Supervisor/Co-Supervisor shall supervise the candidate having blood relatives or spouse.
- Ordinarily, a maximum of two Supervisors/Co-Supervisors shall be permitted for each research scholar. However, in cases involving interdisciplinary research, where the complexity of the subject matter necessitates additional academic guidance, the appointment of one additional Co-Supervisor may be considered. In such cases, a written justification clearly stating the academic necessity for the additional Co-Supervisor shall be submitted to the Chairperson CDAC. The appointment of the additional Co-Supervisor shall be subject to the review and formal approval of the Chairperson CDAC, and shall not take effect until such approval has been explicitly granted.

17.2 Recognition of Research Supervisors

Research supervisors may be recognized under two categories: Internal and External. External supervisors may only be considered as co-supervisors. The list of approved internal supervisors/co supervisors will be prepared by the DDAC.

Prospective External Co-Supervisor will be approved by CDAC Chairperson as per the guidelines. Upon approval by the University, each Research Supervisor/Co-Research Supervisor shall be notified through the University and shall thereafter become eligible to supervise Ph.D. candidates.

In case of retirement of supervisors, he is permitted to continue the guidance and complete the research and viva of the existing Research Scholars who have completed the minimum period of research. In case the retirement period of the supervisor is less than 1 year at the time of allotment of candidate, he will not be allowed to supervise the candidate. However,

he is eligible to be a co- supervisor.

Admission of International students in Ph.D. program: each supervisor can guide up to two International Research Scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars. The university shall decide on the selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms issued by statutory/regulatory bodies concerned from time to time.

17.3 Allotment of Research Supervisor

The allocation of a Research Supervisor plays a crucial role in ensuring the quality of the thesis of Research Scholars. The selection of a Supervisor may be based on student's research interest and/or M.Tech. dissertation title, Supervisor's research interest, vacancy of all under individual faculty, student choice of selecting faculty, requirement of co supervisor from outside or inside KIET University, and recommendation of the DDAC Chairperson.

At least one supervisor of the research scholar shall be from KIET Deemed to be University.

Depending upon the nature of the research problem, additional supervisor may be permitted. In such cases, a maximum of combined total of two supervisors/co-supervisor may be approved by the CDAC. However, any supervisor from outside KIET Deemed to be University shall be designated as a co-supervisor.

The CDAC, with the special approval of the CDAC Chairperson, may permit the appointment of more than one Co-Supervisor for a candidate only under exceptional circumstances. Such a request shall be considered strictly on merit, and the candidate must submit a detailed justification establishing the academic necessity for the same.

After the enrollment of the candidates, a brief profile of all the possible supervisors containing domain and interests with list of their publications will be shared with them, and they shall fill a choice of possible supervisors from the available list for further supervisor allotment.

17.4 Change of Research Supervisor / Co-Supervisor

A scholar shall submit a request to DDAC, if he/she desires to change the Research Supervisor / Co-Supervisor, to the University giving valid reasons for seeking such a change. The recommendations of the Supervisor and/or Co-Supervisor shall be communicated to the DDAC for seeking an approval from the CDAC Chairperson.

A Research Supervisor or Co-Research Supervisor who intends to end their supervision of a scholar must present the University with substantial and valid reasons. The University shall make a suitable decision based on the recommendations of the DDAC.

Under extraordinary circumstances such as resignation, legal actions or disability on health grounds of the Research Supervisor and on the recommendation of the DDAC, it shall be considered for further approval process and communicate the decision to the candidate.

In general, only one such change of supervisor is permissible in the entire research program under ordinary circumstances by the approval of authority and by paying penalty fee as per University PhD guidelines.

Appropriate procedures shall be followed in case of the unfortunate demise of a Research Supervisor or Co-Research Supervisor (if any).

17.5 Change of Research Topic/Title

A candidate desiring to change the title of the research work after confirmation of registration shall submit a formal application to the Supervisor, along with the revised title duly recommended by the Research Supervisor/Co-Supervisor, and upon payment of the prescribed penalty fee as per the University Ph.D. guidelines.

However, the change of title may be permitted without payment of the prescribed penalty fee if such change is specifically recommended by the External Examiner.

Such a change shall be permitted only up to the stage of the Pre-Thesis Synopsis Seminar. No requests for change of title shall be entertained thereafter.

Further, the proposed revised title must remain aligned with the originally approved research area and scope, and the research work carried out by the candidate must be consistent with the approved title.

The approved change shall be duly recorded and notified by the University.

18. CANCELLATION OF REGISTRATION

If the Supervisor and/or Co-Supervisor determines that the progress of a research scholar is not satisfactory, it shall record the reasons for the same and suggest appropriate corrective measures for improvement.

In such cases, the Supervisor and/or Co-Supervisor shall issue a first warning to the scholar, clearly outlining the deficiencies and the expected corrective actions within a stipulated time period. If the scholar fails to demonstrate satisfactory improvement, a second warning shall be issued, providing an additional opportunity along with specific timelines for compliance.

If the scholar continues to fail in implementing the prescribed corrective measures even after the second warning, the Supervisor and/or Co-Supervisor shall issue a show-cause notice to the candidate, seeking a written explanation.

If the explanation submitted by the candidate is found unsatisfactory by the Supervisor and/or Co-Supervisor, Supervisor and/or Co-Supervisor may recommend to the DDAC, with recorded reasons, for cancellation of the registration of the research scholar.

Upon such recommendation and due consideration by the DDAC, the provisional registration of the candidate may be cancelled, and the same shall be notified by the University.

A scholar, who desires to cancel his/her registration voluntarily for any reason whatsoever, in the advanced stage of research shall submit an application through the proper channel. The candidate will be allowed for the same by the approval of authority and by paying penalty fee as per University Ph.D. guidelines.

A scholar's registration may be cancelled under one or more of the following circumstances, subject to Vice-Chancellor approval.

- Unauthorized Absence – Absent for two consecutive weeks without prior intimation or approved leave.
- Withdrawal from the Program – Voluntarily withdraws from the PhD program with DDAC recommendation.
- Failure to Renew Registration – Does not renew semester registration, as required by regulations.
- Non-Reporting to Supervisor – Fails to report to the supervisor on time despite formal reminders.
- Pre Ph.D. Comprehensive Examination Failure – Does not clear the pre Ph.D. domain

knowledge as well as research plan presentation as pre Ph.D. comprehensive exam within the stipulated time frame.

- Unsatisfactory Semester Progress – Semester progress is deemed unsatisfactory multiple times, as per regulations.
- Result of the coursework remains below the threshold despite additional opportunities as per regulations.
- Failure to Submit Research Documents – Does not submit the research plan, synopsis, or thesis within the prescribed or extended period.
- Regulatory Violations or Misconduct – The DDAC recommends registration revocation due to regulatory breaches, professional misconduct, unethical behaviour, or unlawful activities.

All Cancelled cases should be reported in next Academic Council.

The duration of the Ph.D. program starts from the date of admission to the date of Ph.D. viva.

19. TRANSFER CASE OF PH.D. CANDIDATE

A candidate registered for a Ph.D. program at any UGC/AICTE-approved institution in India may be permitted to transfer to KIET Deemed to be University, subject to the following regulations:

19.1. Eligibility and Application

19.1.1 The candidate shall submit a formal application for transfer in the prescribed format along with all relevant supporting documents.

19.1.2 A No Objection Certificate (NOC) from the previous institution is mandatory at the time of application/admission.

19.1.3 The application shall be processed only after due verification of academic qualifications, coursework, and research progress.

19.1.4 Transfer shall be permitted only if the relevant Ph.D. program/discipline is being offered and is active at KIET Deemed to be University at the time of application.

19.2. Coursework Requirements

19.2.1 The coursework completed at the previous institution shall be evaluated for equivalence with the coursework prescribed by KIET Deemed to be University.

19.2.2 Ph.D. scholars are required to complete prescribed coursework credits.

19.2.3 A minimum of **12 credits** of coursework completed at the previous institution shall be required for consideration of exemption.

19.2.4 In cases where the candidate has completed:

- 12 or more credits: The coursework may be considered for equivalence, subject to approval and mapping with KIET curriculum.
- Less than 12 credits: The candidate shall be required to complete the remaining coursework credits at KIET within a maximum period of six (6) months

19.2.5 The approved coursework mapping shall be communicated to:

- The candidate
- The Controller of Examinations

19.3. Minimum Duration of Ph.D.

19.3.1 The minimum duration of the Ph.D. program is three (3) years.

19.3.2 The duration may be reduced proportionately based on the period already spent by the candidate at the previous institution.

19.3.3 However, the candidate must spend a minimum of two (2) years at KIET Deemed to be University, irrespective of the duration completed at the previous institution.

19.3.4 The final decision regarding duration adjustment shall be taken by the CDAC Chairperson based on documentary evidence and recommendations of the CDAC.

19.4. Research Publications

19.4.1 Research publications completed during the tenure at the previous institution shall not be considered toward the mandatory research score requirement of KIET Deemed to be University.

19.4.2 The candidate shall be required to fulfill all research publication requirements as per KIET norms after transfer.

19.5. Supervisor / Co-Supervisor

19.5.1 The candidate may request continuation of research under the existing supervisor from the previous institution.

19.5.2 The previous supervisor may be considered for appointment as a Co-Supervisor at KIET, subject to:

- Institutional norms
- Eligibility criteria and approval as per UGC Norms

19.6. Constitution of Transfer Committee

19.6.1 All transfer cases shall be evaluated by a Committee constituted by the DDAC Chairperson.

19.6.2 The Committee shall consist of:

- One member from CDAC
- One Professor from the respective DDAC
- Dean of the concerned department / DDAC Chairperson

19.7. Evaluation and Recommendations

19.7.1 The Committee shall assess:

- Coursework equivalence and credit mapping
- Research progress of the candidate
- Duration adjustment
- Supervisor/Co-supervisor arrangements

19.7.2 The recommendations of the Committee shall be submitted to the competent authority for approval.

19.8. Transfer Approval and Notification

19.8.1 Upon approval, the candidate shall be issued an official transfer notification.

19.8.2 The notification shall clearly specify:

- Coursework exemptions (if any)
- Pending credit requirements
- Approved duration of the program
- Supervisor/Co-supervisor details

19.9. Compliance and Reporting

19.9.1 All approved transfer cases shall be formally recorded by the University.

19.9.2 Such cases shall be placed before the CDAC in its next meeting for ratification.

19.10. General Provisions

19.10.1 The candidate shall comply with all Ph.D. regulations of KIET Deemed to be University and applicable provisions of UGC Ph.D. Regulations, 2022 after transfer.

19.10.2 Any matter not covered herein shall be decided by the competent authority, and

such decision shall be final and binding.

20. LEAVE POLICY

Scholars should be available all the time and adhere to the academic schedule outlined for the Ph.D. program in the academic calendar, including working days, holidays, and other important dates for registration, fee payment and submission etc.

Full Time Scholars are eligible to avail leave as below which may be amended from time to time by the Academic Council:

- Casual Leave for every academic year, to be accrued on a pro-rata basis.
- Scholars will be entitled to avail one week summer vacation. It cannot be taken in chunks. It has to be the full week from Monday to Saturday.
- Female Ph.D. Scholars may be provided Maternity Leave/Childcare Leave for up to 240 days in the entire duration of the Ph.D. program without Ph.D. Assistantship. The minimum tenure for the Ph.D. program shall be extended accordingly.

The leave may be subject to the approval of the DDAC Chairperson concerned. The Assistantship is not payable during medical leave or maternity leave, unless specifically covered under the University's Ph.D. Leave Rules. The assistantship will be suspended for the duration of the leave and may resume upon the scholar's return.

Special Leaves may be granted to attend Seminars/Conferences in India/abroad to present research papers, with the permission of DDAC Chairperson. Leave beyond the permissible limit will result in proportionate deduction of fellowship or extension of tenure, as decided by the University. In case of prolonged absence without prior approval, the Fellowship will be liable for suspension or termination.

CONCLUSION

All scholars shall have access to the Internal Complaints Committee (ICC) constituted under the POSH Act, 2013. The University shall ensure a safe and harassment-free research environment.

The Ph.D. Regulations 2026-27 of KIET Deemed to be University provide a well-structured, student-centric, and quality-driven research framework. With defined processes, regular monitoring, and academic support at every stage, the University ensures that research scholars are guided effectively towards successful completion of their doctoral journey.

In the event of any dispute, the provisions of the University Ordinance shall be referred to in the first instance. In cases where ambiguity persists, the decision of the CDAC Chairperson, shall be final and binding.