SAPTHAGIRI NPS UNIVERSITY

UNMATCHED EXCELLENCE,UNLIMITED POTENTIAL

PH.D

REGULATIONS

W.E.F 2026-2027



#14/5, CHIKKASANDRA, HESARGHATTA MAIN ROAD

BENGALURU – 560057

SAPTHAGIRI NPS UNIVERSITY
UNMATCHED EXCELLENCE, UNLIMITED POTENTIAL

"A Hub for Multidisciplinary Education and Innovation"

The SAPTHAGIRI NPS UNIVERSITY is a private university and is established in the year 2023. Sapthagiri NPS University's vision and mission revolve around providing a transformative impact on society through a unique learning experience. It aims to offer an unparalleled educational journey in various fields, focusing on deep disciplinary knowledge, problem-solving, leadership, communication and interpersonal skills through innovative pedagogy and educational reforms. The university is committed to shaping leaders and creating an unforgettable experience enriched by cultural celebrations and student-driven programmes.

Sapthagiri NPS University, aims to promote advanced research, innovation, interdisciplinary learning and knowledge creation through its Doctor of Philosophy (Ph.D.) programmes across Engineering and Technology, Management, Commerce, Computer Applications and Basic Sciences.

The doctoral programmes are designed to develop competent researchers, academicians and professionals capable of addressing contemporary challenges through original research, scientific investigation, technological innovation and practical applications.

The University encourages research in emerging areas such as Artificial Intelligence, Machine Learning, Data Science, Information Technology, sustainable engineering, business management and interdisciplinary sciences.

The Ph.D. programmes provide opportunities for eligible candidates to pursue advanced research under the guidance of qualified research supervisors, in accordance with the applicable University regulations and UGC norms. The research framework emphasizes research methodology, publication of scholarly work, ethical research practices, innovation, and the dissemination of knowledge through reputed journals, conferences, patents, and other recognized research outputs.

Ph. D Programmes

Engineering and Technology

1. Ph.D. in Computer Science and Engineering
2. Ph.D. in Computer Science and Engineering – Artificial Intelligence and Machine Learning (AI&ML)
3. Ph.D. in Computer Science and Engineering – Artificial Intelligence and Data Science (AI&DS)
4. Ph.D. in Computer Science and Engineering – Data Science (DS)
5. Ph.D. in Electrical and Electronics Engineering
6. Ph.D. in Electronics and Communication Engineering
7. Ph.D. in Mechanical Engineering
8. Ph.D. in Civil Engineering

Management and Commerce

9. Ph.D. in Management
10. Ph.D. in Commerce

Computer Applications and Information Technology

11. Ph.D. in Computer Applications
12. Ph.D. in Information Science & Technology

Basic Sciences

13. Ph.D. in Physics
14. Ph.D. in Mathematics

Eligibility Criteria for Admission

- Post Graduate Degree in the respective subjects from a recognized University with a minimum of 55% marks in M.Tech/ME/MBA/M.Com/M.Sc/MCA in respective and related subjects.
- **Note:** Candidates with MCA, M.Sc (Computer Science), M.Sc (Information Science/ Technology) qualifications are eligible to apply only under the School of Applied Sciences. Relaxation in Eligibility Criteria
- **International Qualifications**: An aggregate of 55 % or an equivalent grade in Master's degree completed in full-time mode and fulfilling one of the options mentioned below

  a. 2 year / 4 semester Master's Degree, after a 3 year / 6 semester Bachelor's Degree program

  b. 2 year / 4 semester Master's Degree, after a 4 year / 8 semester Bachelor's Degree program

  Applicants with Bachelor's and Master's degree from International Universities will have to produce a certificate of recognition from Commonwealth Universities / International Association of Universities (IAU) / Accredited by an assessment & accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory

authority in that country to assess, accredit or assure quality and standards of the educational institution; as equivalent to the corresponding Indian degrees for the purpose of higher studies.

Relaxation

A relaxation of 5% marks or its equivalent grade may be allowed for candidates belonging to SC/ST/OBC (Non-Creamy Layer) / Differently-abled / Economically Weaker Sections (EWS) and other categories as per the decision of the University Grants Commission from time to time.

Admission Categories

- **Full-time Candidates**

Full-time research scholars shall be present in the University campus on all working days, except Sundays and general holidays. In addition to pursuing research, full-time scholars may be required to undertake teaching or project assistant responsibilities as assigned.

- **Internal Part-time Candidates**

Faculty members of Sapthagiri NPS University who meet the prescribed qualifications may register as part-time Ph.D. scholars. Staff working on sponsored research projects at the University are also eligible. Applications must be submitted in the prescribed form on or before the notified dates.

- **External Part-time Candidates**

Faculty members of other institutions/universities, scientists from R&D institutions and industry personnel may register for the Ph.D. programme.

They must submit a No Objection Certificate (NOC) from their employer at the time of admission. The Research scholar should update the progress report to the Research Supervisor at least once a month.

Selection Procedure

- Applications shall be invited through open advertisement in leading newspapers /official notifications in website.
- Departments shall shortlist candidates for a Written Test and Interview conducted on a pre-announced date.
- Candidates who have secured 50% marks in the entrance test are eligible to be called for the interview.
- Selection shall be based on the Overall Merit Index, calculated as follows:

    - Written Test – 75%
    - Interview (PPT) – 25%

Candidates qualified in CSIR/UGC-NET (JRF) GATE/CEED/ NET (with or without fellowship) / SLAT / KSAT shall be exempted from the written test.

- Lateral Entry Candidates may be exempted from the written test but must appear for the interview. At the time of transfer, they must submit:

    - Transcripts of completed coursework
    - No Objection Certificate / Migration Certificate
    - Research proposal and progress report

Admission

- Candidates approved by the Admission Committee shall be admitted upon payment of prescribed fees.
- Admitted candidates shall apply for **Ph.D. registration** in the prescribed form within one month from the date of admission.

Research Supervisor

- After the orientation programme, candidates shall choose a Research Supervisor with the approval of the Dean/Director/Head of the Department, considering:
    - Candidate's research interest
    - Departmental research priorities
    - Equitable distribution of scholars
    - Faculty member's consent
- A Co-Supervisor shall be appointed for interdisciplinary research
- Where expertise is unavailable within the University, an external expert may be appointed as Research Advisor from reputed organizations like ISRO,DRDO,NAL,CMTI,etc, with due approval. However, a Research Supervisor from within the University is mandatory.

Eligibility for Research Supervisor:

- Doctoral Degree awarded at least one year prior
- At least one research paper in a refereed journal (excluding Ph.D. thesis work)
- Minimum three years of service remaining

- Faculty members must apply to the Dean, Research & Innovation for recognition as Research Supervisors.
- Faculty members who resign shall forfeit their status as Research Supervisors.
- As per the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022, supervision limits are:
    - Assistant Professor – Maximum 4 scholars.
    - Associate Professor – Maximum 6 scholars.
    - Professor – Maximum 8 scholars.

Research Supervisor	Maximum no.of Research scholars permitted to be supervised/guided.	General Merit Research Scholars	SC/ST/Cat-1 Scholars	Specially – abled or any other reserved category scholars (i.e., IIA, IIB, IIIA, and IIIB)
Professor	**08**	04	02	02
Associate Professor	**06**	03	02	01
Assistant Professor	**04**	02	01	01

The University may impose stricter limits if deemed necessary.

Continuation of Retired/Resigned Supervisors

A retiring/resigning supervisor may continue guiding a scholar only if the thesis is submitted within six months. Otherwise, the scholar shall choose a new supervisor without change of topic.

Doctoral Committee

Each scholar shall have a Doctoral Committee to:

- Approve research proposal
- Prescribe coursework

- Monitor research progress

Composition:

- Director/HOD – Chairperson
- Research Supervisor – Convenor
- External Expert – Member
- One Faculty Member – Member
- Dean of School & Dean, R&I – Invitees

The Research Advisor and the External Experts shall be paid TA, DA & honorarium as per University norms for attending the meeting of the Doctoral Committee. The Committee shall be constituted within one month of provisional registration.

Course work and Progress Monitoring

Course Work

All provisionally registered scholars must complete mandatory coursework (minimum 12 credits for Engineering and 18 Credits for Non-Engineering).

Requirements:

- Minimum 75% attendance
- Minimum 55% aggregate, with at least 45% in each course
- Maximum 02 Years or 04 attempts for each course for completion (extendable by 6 months with approval)

- Candidate who are unsuccessful, but have fulfilled the attendance requirement shall be permitted to avail makeup assessment period of a maximum of 8 more weeks from the date of provisional announcement of results by the Registrar (Evaluation).

- The candidate who remains unsuccessful even in make-up assessment is declared to have not cleared the course work and his/her provisional registration status stands cancelled through a notification by the Registrar (Evaluation). A candidate whose registration is cancelled and if they are keen on pursuing research he/she has to reappear for the entrance test.
- Ph.D. Coursework evaluation shall be as per the University Evaluation Regulations as applicable to master's level courses.
- The paper setting & evaluation for the specialized courses shall be the sole responsibility of the Research Supervisor.
- Marks / grade sheets pertaining to the course work of Research Scholar shall be issued by the Registrar (Evaluation).

S. No	Name of the Course	Credits	Total
1	Paper – I Research Methodology & Publication Ethics	03	100
2	Paper – II Core Subject	03	100
3	Paper – III Core subject	03	100
4	Paper – IV Specialization	03	100
Total		**12**	**400**

Pre-registration Colloquium

- Upon satisfactory completion of the coursework and securing the prescribed marks/grade as per University regulations, the Ph.D. scholar shall undertake research work and prepare a draft synopsis within the stipulated time.

- The scholar, in consultation with his/her Research Supervisor, shall prepare a research proposal (synopsis) on the identified research topic/problem and submit five copies of the Ph.D. research proposal (synopsis) to the Research Supervisor, through the Co-Supervisor(s), if any, within one month for registration.
- The research proposal (synopsis) shall include the background of the research problem, definition of key concepts, objectives, hypotheses (if applicable), methodology to be adopted, techniques for data collection and analysis, as well as the scope and limitations of the study. The candidate shall ensure that the synopsis clearly defines the objectives, methodology, expected results and their implications in terms of addressing gaps in existing knowledge and establishing its social/scientific relevance.
- The Research Supervisor shall organize a meeting of the Doctoral Committee within fifteen days of receipt of the synopsis to conduct the Pre-registration Colloquium.
- Every scholar shall prepare a brief report comprising a literature review, work plan and the scientific relevance of the proposed research and shall present the same in the form of a colloquium before the Doctoral Committee.

Procedure for Monitoring the Progress of Research Scholars

Submission of Progress Report: Every Research Scholar shall submit the progress report in the prescribed pro forma to the Research Supervisor at least two weeks prior to the completion of each six-month period from the date of registration. The Research Supervisor shall forward the same, along with his/her comments and recommendations, to the Director/Head of the Department for consideration by the Doctoral Committee.

Contents of the Progress Report: The progress report shall clearly specify the academic and research work carried out during the reporting period and shall include the following particulars:

- Status of thesis proposal
- Status of completion of coursework (if applicable)
- Research progress achieved during the period
- Publications, if any
- Problems or difficulties encountered, if any
- Proposed plan and timeline for the subsequent period

Doctoral Committee Meetings: The Doctoral Committee shall meet at least once every six months to review the progress of the Research Scholar. The Scholar shall mandatorily make a presentation on the progress of research before the Committee.

Composition for Review Meetings: The first meeting of the Doctoral Committee shall include the External Expert and shall make recommendations regarding coursework and research direction, wherever applicable. Of the two meetings conducted annually, the mid-year review meeting shall comprise only Internal Members of the Doctoral Committee. The Dean, Research & Innovation shall be an Invitee to such meeting in place of the External Expert.

Unsatisfactory Progress: In the event that the progress of the Research Scholar is found to be unsatisfactory, the Doctoral Committee shall record the reasons in writing and recommend appropriate corrective measures. Continued unsatisfactory performance may result in action as per the applicable Ph.D. Regulations of the University.

Comprehensive Viva-Voce

- After the successful completion of the coursework and the Pre-registration Colloquium, the candidate shall undergo a Comprehensive Viva-Voce examination within a maximum period of two years, preferably within one and a half years, from the date of provisional registration. The Comprehensive Viva-Voce shall be conducted by the Doctoral Committee.
- The Research Scholar shall submit an application to appear for the Comprehensive Viva-Voce examination, duly forwarded by the Research Supervisor and the Chairperson of the Doctoral Committee, to the Dean, Research & Innovation.
- At the Comprehensive Viva-Voce examination, the candidate shall make a detailed presentation of his/her research work and respond to all questions raised by the members of the examination panel. The examination shall also assess the candidate's knowledge in the prescribed coursework relevant to the area of research.
- If a Research Scholar fails in the Comprehensive Viva-Voce examination on the first attempt, he/she may be permitted to reappear once, not earlier than four months and not later than six months from the date of the first examination. If the Research Scholar fails to pass in the second attempt, his/her registration shall be cancelled.
- Every Research Scholar shall successfully pass the Comprehensive Viva-Voce examination and obtain confirmation of registration before submission of the thesis for the award of the Ph.D. degree through the Registrar (Evaluation).

Registration

- All Research Scholars shall enroll at the commencement of course year in the stipulated date and continue enrollment every year until submission of the thesis.
- All Research Scholars shall pay the prescribed fees at the time of registration of each year until the submission of the thesis.
- The registration of a Research Scholar who fails to enroll for course year shall be liable for cancellation by the University.

Minimum Duration of the Programme

- **Full Time:** The minimum duration for submission of the thesis shall be **Three (3) years** from the date of admission to the Ph.D. programme.
- **Part Time:** The minimum duration for submission of the thesis shall be **Four (4) years** from the date of admission to the Ph.D. programme.
- Any exception to the minimum duration, under special circumstances, shall be considered by the Dean, Research & Innovation, with the approval of the Board.

Maximum Duration of the Programme

- **Full Time:** The maximum duration for submission of thesis is from the date of admission to the Ph.D. programme shall be **Six years**.
- **Part Time:** The maximum duration for submission of thesis is from the date of admission to the Ph.D. programme shall be **Eight years**.

Break-in-Studies

- A Research Scholar may be permitted to avail a break in studies on medical grounds or other valid reasons, subject to prior approval of the Dean of the respective School. The break period shall not exceed one (1) year.
- If prior permission is not sought and obtained, the absence shall be treated as discontinuation of the programme and appropriate action, including cancellation of registration, may be taken. In cases of break on medical grounds, a medical certificate issued by an authorized Medical Officer shall be mandatory.
- A break in studies may also be considered for accepting employment or a fellowship abroad, subject to fulfillment of the prescribed conditions.
- The candidate shall have completed the minimum period of registration, coursework, Comprehensive Viva-Voce examination and all major theoretical and experimental components of the research work, and shall have commenced preparation of the thesis prior to seeking such break.

The request for break-in-studies shall be accompanied by:

- A detailed statement on the status of research work
- A copy of the appointment/fellowship order (where applicable) and
- A written undertaking from the Research Scholar stating that he/she shall rejoin the University upon completion of the break period to complete the remaining requirements, including submission of the thesis and/or appearance for the final viva-voce examination, as applicable.

- Research Scholars granted break-in-studies shall pay the applicable tuition and other prescribed fees, as determined by the University, to maintain their studentship.
- The application for break-in-studies shall be submitted at least one month in advance, along with all relevant documents and specific recommendations of the Research Supervisor(s) and the Director/Head of the Department.

Submission

Submission of Synopsis

- When the thesis is nearing completion, the candidate shall submit three copies of the synopsis of his/her research work, duly forwarded by the Research Supervisor and the Director/Head of the Department, to the Dean, Research & Innovation (R&I) for consideration. The synopsis, not exceeding ten (10) pages, shall be submitted at least eight (8) weeks prior to the proposed date of thesis submission to facilitate the constitution of the panel of examiners.
- The candidate shall deliver at least one colloquium on the thesis work in the concerned Department prior to submission of the synopsis. It is desirable that the candidate publish at least two research papers, indexed in Scopus/SCI/UGC CARE, based on the thesis work in refereed, non-predatory journals of repute before submission of the synopsis.
- The candidate shall present the synopsis before the Doctoral Committee. Upon approval of the work reported in the synopsis, the Doctoral Committee shall permit submission of the thesis and recommend a panel of at least eight (8) experts (four from reputed and

premier institutions from India and four from abroad) in the relevant subject area for evaluation of the thesis.

Submission of Thesis

- The candidate shall submit four copies of the thesis, in the format prescribed by the University, within three (3) months from the date of approval of the synopsis.
- The prescribed thesis evaluation fee, as notified by the University, shall be paid by the Research Scholar prior to submission of the thesis.

Adjudication of Thesis

- The Chairperson of the Department/School shall place before the Doctoral Committee the panel of adjudicators proposed by the Research Supervisor for approval. The Research Supervisor shall provide the official email addresses and contact details of all proposed adjudicators to facilitate expeditious evaluation.
- Upon approval by the Doctoral Committee, the panel shall be forwarded by the Dean, Research & Innovation (R&I) to the Registrar (Evaluation) within one week of such approval.
- The panel of adjudicators shall consist only of experts in the relevant field, not below the rank of Associate Professor or equivalent (including Senior Scientists), who possess a Ph.D. in the concerned discipline and have significant research experience.
- The Ph.D. thesis shall be evaluated by at least two external examiners who are not employed by the University. At least one examiner may be from outside the State.

- Each adjudicator shall submit the evaluation report to the Registrar (Evaluation), with a copy to the Research Supervisor, within two months from the date of receipt of the thesis.
- If an external examiner fails to submit the evaluation report within sixty (60) days, even after a reminder, the thesis shall be referred to a reserve examiner from the approved panel. In such cases, the candidate may be required to submit an additional copy of the thesis.
- The University shall utilize appropriate communication methods and digital technologies, including email correspondence, to expedite consent, reminders, and evaluation processes. Except under extraordinary circumstances, the entire evaluation process shall ordinarily be completed within six (6) months from the date of submission of the thesis.

Each adjudicator's report shall include:

- A critical evaluation of the thesis and its contribution to the advancement of knowledge.
- Specific questions or clarifications to be addressed by the candidate during the open viva-voce examination.

The adjudicator shall also explicitly state:

- Whether the Ph.D. Degree may be awarded based on the thesis as submitted.
- Whether the thesis requires revision and resubmission.
- Whether the thesis should be rejected.
- Whether the thesis is suitable for publication.

- If both evaluation reports are favorable, the Registrar (Evaluation) shall authorize the Research Supervisor to arrange the open viva-voce

examination, inviting one of the external adjudicators to conduct the same.

- If one examiner recommends revision and resubmission, the Registrar (Evaluation) shall communicate the same to the candidate. The revised thesis shall be resubmitted within six (6) months from the date of communication and shall ordinarily be sent to the original examiner, unless the examiner declines, in which case it may be referred to another examiner from the approved panel.
- A candidate shall be permitted to resubmit the thesis only once.
- The public viva-voce examination shall be conducted only if both external examiners provide satisfactory reports and explicitly recommend the conduct of the viva-voce.
- If one examiner does not recommend the viva-voce examination, the thesis shall be referred to another external examiner from the approved panel. The viva-voce shall be conducted only if the report of the additional examiner is satisfactory. If the additional report is also unfavorable, the thesis shall be rejected and the candidate declared ineligible for the award of the degree.
- If one adjudicator clearly recommends rejection of the thesis, it shall be referred to another external examiner from the approved panel. If the additional report is favorable, the candidate shall be eligible to appear for the viva-voce examination; otherwise, the thesis shall stand rejected.
- If both external adjudicators recommend rejection of the thesis, the thesis shall stand rejected.

Viva-Voce Examination

- Upon receipt of favorable/satisfactory reports from the external adjudicators, an open viva-voce examination shall be conducted on a working day by a Board constituted by the University as detailed below. The viva-voce examination shall be conducted by the Research Supervisor, with the presence of at least one of the two external adjudicators.

  The Viva-Voce Board shall comprise the following members:

  - **Research Supervisor** – Chairperson
  - **Dean and Director of the Department/School** – Member
  - **One/Two External Adjudicator(s)** – Member(s)

- In cases where the Research Supervisor is unable to attend the viva-voce examination, the Co-Supervisor or one of the external adjudicators who evaluated the thesis shall serve as the Chairperson. However, written consent from the Research Supervisor and approval from the Registrar (Evaluation) shall be mandatory.
- If an external adjudicator is appointed as Chairperson, the other external adjudicator who evaluated the thesis shall be invited as a Member, provided he/she is from India. If the external adjudicator declines to attend, another expert from the approved Ph.D. panel shall be invited as a Member.
- Under extraordinary circumstances where neither of the external adjudicators is able to be present at the viva-voce examination, the Registrar (Evaluation) shall appoint an external expert from the approved Ph.D. panel to conduct the viva-voce examination.

- The Chairperson of the Viva-Voce Board shall notify, at least one week prior to the examination, the details of the open viva-voce examination on the official notice board of the University. The examination shall be open to Research Supervisors in the Department, faculty members, research scholars and other interested experts/researchers.
- The viva-voce examination shall primarily assess the candidate's understanding of the research area and the ability to defend the thesis. The points raised by the adjudicators shall be addressed during the viva-voce examination and the evaluation reports shall be made available to the Board.
- The report of the open viva-voce examination shall be signed by the Research Supervisor, the External Examiner and the Dean/Director of the Department/School.
- The Dean/Director of the Department/School shall forward the report to the Registrar (Evaluation) on the same day or the next working day.
- If the candidate's performance in the viva-voce examination is found to be unsatisfactory, he/she may be permitted one additional opportunity to reappear for the viva-voce examination within three months.
- If the candidate deceases prior to the conduct of the viva-voce examination, the University may award the Ph.D. degree posthumously as a special case, provided both external evaluation reports are favorable.
- If the candidate fails to appear for the viva-voce examination, the Doctoral Committee of the Department/School may grant an extension of up to three months. If the candidate still fails to appear within the extended period, the Dean/Director of the Department/School shall refer the matter to the Registrar (Evaluation) for further action.

Ph.D. Notification and Award of the Degree

- Upon successful completion of the open viva-voce examination, the Chairperson of the Viva-Voce Board shall forward the report of the viva-voce examination along with the consolidated thesis evaluation report and the recommendation of the Board to the Registrar (Evaluation) for the award of the Degree of Doctor of Philosophy to the candidate. The report shall be forwarded on the same day or the next working day.
- The University shall issue the Declaration of Result Notification within one month from the date of the viva-voce examination.
- After the viva-voce examination, the candidate shall incorporate the suggestions, if any, made by the adjudicators into the final version of the thesis and submit two hard copies and two soft copies (in PDF format) to the Registrar (Evaluation). The hard copies shall be forwarded to the University Library and the soft copy shall be submitted to the University Grants Commission (UGC) as per the applicable regulations.

Publication of the Thesis

- After the award of the Ph.D. Degree, the candidate may publish the thesis, in full or in part, with prior written permission of the University, duly acknowledging the Research Supervisor. Two copies of the published work shall be submitted to the University Library.
- Upon award of the Ph.D. Degree, the thesis and any publication arising out of the thesis shall remain the intellectual property of the University. The University shall appropriately share credit with the candidate and the Research Supervisor in matters relating to copyright, patent or any other academic recognition.

Withdrawal of Registration

A Research Scholar may withdraw from the Ph.D. programme by submitting a written request through the Research Supervisor and Head of the Department to the Dean (R&I). The withdrawal shall be subject to approval by the competent authority. No fees paid shall be refunded after confirmation of registration.

Anti-Plagiarism and Research Ethics

The thesis shall be subjected to plagiarism check using approved software as per UGC regulations. The similarity index shall be within the permissible limits prescribed by the University. Any violation of research ethics shall attract disciplinary action as per University rules.

Power to Modify

Notwithstanding anything stated above, the Vice-Chancellor, in his/her capacity as Chairperson of the Academic Council, shall have the authority to interpret these regulations or effect minor modifications, as deemed necessary, subject to ratification by the Academic Council.

Change of Research Supervisor

Change of Research Supervisor may be permitted under exceptional circumstances such as resignation, retirement, transfer or inability of the Supervisor to continue guidance. Such change shall require approval of the Doctoral Committee and the competent authority.

Issue of Provisional Certificate

A Provisional Certificate shall be issued by the University after formal approval of the award of the Ph.D. Degree by the competent authority and notification of the result.

Convocation and Conferment:

The Degree of Doctor of Philosophy shall be formally conferred at the Convocation of the University. The candidate may receive the Degree in person or in absentia, as per University regulations.