

UNIVERSITY OF KERALA

(Abstract)

Ph. D. Thesis- Open Defence- Guidelines- Proforma and Documents to be submitted-
Approved- Orders issued

Academic E II Section

No. Ac.E II/2022

Dated, Thiruvananthapuram, 23.06.2022

- Read:** 1. Minutes of the meeting of the subcommittee held on 19.04.2022
2. Item No. D3 of the minutes of the meeting of the Standing Committee of the Syndicate on Academics and Research held on 23.05.2022
3. Item No. 42.75.D3 of the minutes of the meeting of the Syndicate held on 25.05.2022

ORDER

The Standing Committee of the Syndicate on Academics and Research vide paper read as (2) above, considered the minutes of the subcommittee constituted to study the proposal submitted by Prof. Dr. A. Gangaprasad, Former Dean, Faculty of Science for revising the guidelines for the conduct of Ph.D. Open Defences and recommended to approve the report of the subcommittee vide Paper read (1) above with modification. The Syndicate vide paper read as (3) above resolved to approve the same.

Sanction has been accorded by the Vice- Chancellor for the implementation of the revised guidelines for the conduct of Ph D Open Defence as detailed in the following Appendixes to this UO:

- a) The Protocol for the conduct of Open Defence- Appendix-1
- b) Proforma to be submitted by the Research Supervisor regarding the consent of date for the conduct of Open Defence- Appendix-2
- c) Documents to be submitted after Open Defence- Appendix-3

Orders are issued accordingly.

Sindhu George
DEPUTY REGISTRAR (Acad III)
For REGISTRAR

To

1. The Heads of all University Teaching/ Research Departments/ Research Centres
2. All Research Guides, University of Kerala
3. Deans, Faculties
4. PS to VC/PVC
5. PA to Registrar/CE/FO
6. The Director, Research
7. The Director, Computer Centre
8. The PRO/ Reception Officer
9. Ac E VI/ Ac E V (A)
10. Office Copy

Forwarded/By order


SECTION OFFICER

APPENDIX-1

PROTOCOL FOR THE CONDUCT OF Ph.D. OPEN DEFENCE

- The Open Defence shall be organized by the supervising teacher in consultation with the Chairperson appointed by the Vice Chancellor, the Dean, Faculty of the subject concerned and the Head of the Department concerned/ Chairperson Departmental Doctoral Committee.
- Written or e-mail confirmation regarding the dates for the conduct of Open Defence has to be obtained by the guide from **(i) the Chairperson (External Examiner) (ii) the Dean, Faculty of the subject concerned (iii) the Chairperson, Department Doctoral Committee/Head of the Department concerned (iv) and the co-guide (if applicable).** Then the guide has to send a mail to the Research Directorate requesting confirmation of the date and time for the conduct of Open Defence in the prescribed format (**Appended as Appendix 2**).
- On receipt of the consent from the supervising teacher, the research section concerned shall issue the order specifying the date, time and venue for conducting the Open Defence and shall send the same to **(i) the Chairperson, (ii) the supervising teacher (iii) the Dean, Faculty of the subject concerned (iv) the Chairperson, Department Doctoral Committee/Head of the Department concerned (v) and the co-guide (if applicable).**
- The venue of the Open Defence shall be the University Department concerned.
- In the case of students working in recognized research centers other than University Departments, the venue of the Open Defence shall be the University Department concerned.
- In the absence of a University Department in the chosen subject, the Open Defence shall be conducted at the Research Centre where the candidate worked, if the Centre is located at Trivandrum.
- In all other cases, the venue shall be fixed with the prior approval of the Vice-Chancellor.
- The Open Defence shall be conducted in Hybrid mode. A minimum of 20 participants consisting of faculty members and research scholars shall be present in offline mode.

- The research scholar and the supervising teacher shall be physically present in the Department concerned or at the official venue as approved by the University for the Open Defence.
- In emergency situations (including cases where the research scholars are from outside India) where the Research Scholar cannot be physically present in the Department and present his/her thesis, prior approval of the Vice Chancellor shall be obtained well in advance to conduct the Open Defence presentation online from outside the Department concerned.
- Invitation for the Open Defence must be sent to (i) The Dean of the Faculty concerned (ii) Research Guides of the University of Kerala in the Discipline concerned (iii) Research Guides in related disciplines (iv) Heads of the Departments of the faculty concerned (v) Research Scholars registered in the subject concerned in the University of Kerala. (vi) Post-Doctoral Fellows/Research Associates in the discipline concerned.
- Open Defence invitation shall be sent by e-mail preferably 5 days prior to the actual date of the Open Defence.
- The Supervising Teacher (Convenor) shall extend invitation for the Open Defence to all the participants.
- A summary of the doctoral thesis in about 1000 words submitted by the Research Scholar shall also be sent along with the invitation.
- An invitation/notice shall be issued by the Supervising Teacher (Convenor) indicating the name of the Research Scholar, title of the doctoral thesis and date, time and venue of the Open Defence along with the link for online access to the Open Defence and the same shall be displayed on the Notice Board of the Department concerned.
- The Supervising Teacher (Convenor) shall also arrange to display a copy of the doctoral thesis and the research summary in the Department Library concerned at least 3 days before the Open Defence.
- The supervising teacher (Convener) shall control the online process of the Open Defence.
- The Head of the Department/Chairperson of the Departmental Doctoral Committee of the subject concerned shall arrange all necessary facilities for the smooth conduct of the Open Defence.

- The Dean of the faculty concerned will be the representative of the University and shall function as observer of the Open Defence.
- The Open Defence shall begin at the exact time mentioned in the invitation with the welcome address by the Supervising Teacher (Research Guide) who is also Convener of the Open Defence.
- The Supervising Teacher (Convenor), shall introduce (i) the Chairperson of the Board of Examiners who is the **External Examiner**, appointed by the Vice Chancellor and (ii) also the Research Scholar.
- Then the proceedings shall be handed over to the Chairperson of the Open Defence.
- Chairperson shall make the opening remarks and shall invite the Research Scholar to present his/her thesis.
- Research Scholar shall then do the presentation of his/her thesis. The duration of the presentation shall be between 30 to 45 minutes.
- After the presentation by the candidate, the participants of the Open Defence can ask questions based on the actual content of the thesis. The candidate has to answer the questions convincingly.
- Allowing or not allowing any question to be raised by the participants during the Open Defence is the privilege of the Chairperson, who is the External Examiner.
- Then there shall be discussion on the comments made by the External Examiners followed by the remarks of the Chairperson of the Board.
- The research scholar shall answer the questions raised by the Chairperson of the Board.
- If the Chairperson of the Board and the Dean of the Faculty together feels that the candidate is not confident in the presentation and failed to answer the questions raised during the Open Defence appropriately, the candidate can be asked to repeat the Open Defence after 6 months time.
- Then the chairperson shall offer the concluding remarks and his recommendations.
- The Open Defence shall be concluded with the vote of thanks proposed by the candidate.
- The documents as detailed in **Appendix-3** shall be submitted by the Chairperson, Department Doctoral Committee/ Head of the Department concerned without delay.

APPENDIX-2

Proforma to be submitted by the Research Supervisor for the conduct of Open Defence

1. Name of Research Scholar :
2. Subject :
3. Faculty :
4. Time :
5. Date :
6. Whether the Chairman has given consent for conducting the Open Defence on the above mentioned date and time:
7. Specify the mode in which the Chairman is attending the Open Defence :

If offline, specify the mode of travel also :
8. Whether the Head of the Department concerned/Chairperson, Department of Doctoral Committee/ Head of the Research Institution (provided there is no teaching Department under the University of Kerala) has given consent for conducting the Open Defence on the above mentioned date and time:
9. Whether the Dean of the Faculty concerned has given consent for conducting the Open Defence on the above mentioned date and time:
10. Whether the Co-Supervisor(S) (if applicable) has given consent for conducting the Open Defence on the above mentioned date and time:

Date:

Name and Designation of the Research Supervisor

* Furnish reply to all the above data (mandatory)

APPENDIX-3

Details of Documents to be Submitted After the Completion Of Open Defence is Given Below

- 1) **Minutes of the Open Defence:** The minutes shall be signed by (i) External Examiner who is the Chairperson of the Board of Open Defence (ii) Dean of the faculty concerned (iii) Chairperson of the Department Doctoral Committee/Head of the Department (iv) Supervising Teacher (v) Co-supervising Teachers (if applicable)
- 2) **Duly filled Proforma:** The proforma shall be signed by (i) External Examiner – Chairperson of the Board of Open Defence (ii) Dean of the faculty concerned (iii) Chairperson of Department Doctoral Committee/Head of the Department (iv) Supervising Teacher (v) Co-supervising Teacher (if applicable).
- 3) **Copy of the invitation letter:** The invitation letter shall be signed by (i) Supervising Teacher (ii) Co-supervising Teacher (if applicable)
- 4) **Proof of invitation:** Evidence of e-mail send to participants/invitee's signed by (i) Supervising Teacher (ii) Co-supervising Teacher (if applicable)
- 5) **List of participants (both online and offline attendance):** The list shall be signed by (i) Chairperson of Department Doctoral Committee/Head of the Department (ii) Supervising Teacher (iii) Co-supervising Teacher (wherever applicable)
- 6) Duly filled in remuneration form from the External Examiner
- 7) Duly filled Data sheet of the External Examiner (bearing details of bank account number, IFSC code)
- 8) **If any corrections occurred in the proforma, a fresh of the same shall be submitted**