

UNIVERSITY OF KERALA

Regulations for Award of Ph.D. Degrees, University of Kerala, 2016

Regulations for Award of Ph.D. Degree, University of Kerala, 2016 are framed in supersession of the UGC(Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree)Regulation 2009 notified in The Gazette of India [No.28, Part III-Section 4] for the week July 11-July 17, 2009; and in accordance with the UGC(Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree)Regulations 2016 notified in The Gazette of India [No. 278, Part III-Section 4] Extra Ordinary on July 5th 2016 vide No.F.1-2/2009(EC/PS)V(I) Vol.II-in exercise of the powers conferred by clauses (f) and (g) of sub-section(1) of Section 26 of the University Grants Commission Act, 1956 (3 of 1956).

1. Short title, Application and Commencement

- 1.1 These Regulations are titled as *The Regulations for Award of Ph.D. Degrees, University of Kerala 2016*.
- 1.2 These Regulations shall be made applicable to candidates seeking registration for Ph.D. Degree from 2016 July session onwards.
- 1.3 Award of degrees to candidates registered/waiting for orders of registration, during the period from 11th July 2009 to 4th July 2016, based on the applications submitted in response to the University Notifications of 2016 January session or earlier for Ph.D. shall be governed by the University Regulations and guidelines thereon framed in line with the provisions of the UGC(Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulation 2009.
- 1.4 These Regulations shall come into force with effect from 5th July 2016.

2. Eligibility criteria for admission to Ph.D. programme

- 2.1 Candidates for admission to the Ph.D. programme shall have a Masters degree or a professional degree recognized as equivalent to the Masters degree of the University of Kerala in grade 'B' in the UGC 7-point scale(or an equivalent grade in a point scale wherever grading system is followed) with not less than 55% marks or an equivalent degree from a foreign educational institution accredited by an Assessment and 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be granted to those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates as per the decisions of the University/State Government from time to time, or for those who had obtained their Masters degree prior to 19th September, 1991.
- 2.3 Eligibility marks of 55%(or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned in Clause 2.2 in these Regulations are permissible based only on the qualifying marks exclusive of the grace mark procedures.
- 2.4 Candidates who have passed the M.Phil. programme with a minimum of grade 'B' in the UGC 7-point scale(or an equivalent grade in a point scale wherever grading system is followed) with at least 55% marks in aggregate or its equivalent shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed for those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates, as decided by the State government/University from time to time.
- 2.5 A candidate for whom M.Phil. dissertation stands evaluated, but the viva voce remains yet to be scheduled may be admitted to the Ph.D. programme of the same institution.

- 2.6 Candidates possessing a degree considered equivalent to M.Phil. degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

3. Procedure for granting Registration

- 3.1 Candidates for Ph.D. programme shall be granted registration through an entrance test conducted by the University. However, for those students who qualify UGC-NET/JRF, UGC-CSIR-NET/JRF, SLET, GATE and research fellowships of central and state Government departments/agencies as approved by the University, as the case may be, shall be eligible for exemption from the entrance test. M.Phil. degree and teacher fellowship holders shall also be granted exemption from the entrance test for registration to Ph.D.
- 3.2 The number of Ph.D. scholars, to be admitted to each subject of study at the University Departments/Centers and duly approved research centers, shall be decided based on number of available research supervisors and other academic as well as physical facilities available, in accordance with the norms regarding the scholar-teacher ratio(as indicated in Para 5.3), laboratory, library and such other facilities.
- 3.3 The University shall notify twice in May and November every year in the website and through advertisement(in at least two national newspapers, of which at least one shall be in the regional language) the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) and date(s) of entrance test(s) and all other relevant information for the benefit of candidates.
- 3.4 Admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the State Government/University, applicable to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates, as decided by the State Government/University from time to time.

- 3.5 Candidates eligible for registration to Ph.D. shall be decided by a two stage process – Entrance Test and Interview.
- 3.6 Entrance test shall be conducted at the Centre(s) on the dates notified in advance and changes of centers/dates, if any, shall be notified sufficiently earlier. Syllabus of the Entrance test shall consist of questions based on research methodology (50%) and the subject of study concerned (50%).
- 3.7 Interview shall be conducted by the Department Doctoral Committee in such a way that the candidates would be required to discuss their research interest/area through a presentation.
- 3.8 It shall be assessed at the interview whether:
 - 3.8.1 The candidate possesses the competence for the proposed research;
 - 3.8.2 The research can be suitably undertaken at the research centre; and
 - 3.8.3 The proposed research can contribute to new/additional knowledge.
- 3.9 The University shall maintain the list of all Ph.D. scholars, granted registration for research on its website on annual basis with the details, such as the name of researcher, topic of research, name of supervisor/co-supervisor, and date of enrolment/registration.

4. Duration of the Programme

- 4.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 4.2 Women candidates and candidates with disability of more than 40 per cent may be allowed a relaxation of two years for Ph.D. in the maximum duration.
- 4.3 Women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for a period up to 240 days.
- 4.4 Registration for research granted shall be automatically cancelled on the date of expiry of the maximum period specified in Clauses 4.1, 4.2 and 4.3 in these Regulations.

5. Allocation of Research Supervisor

5.1 Any regular Professor of the University/approved research centre with at least five research publications in refereed journals, approved by the UGC/ University and any regular Associate/Assistant Professor of the University/approved research center with a Ph.D. degree and at least two research publications in refereed journals, approved by the UGC/ University, may be recognized as Research Supervisor. The scientists on regular employment referred to in clause 5.2 of these Regulations may also be recognized as research supervisors.

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

5.2 Scientists in the regular service in research laboratories of Central/State Government, located in the geographical jurisdiction of University, may also be approved as Research Supervisor/Co-supervisor and the Scientist in Grade-D, Scientist Grade-E and Scientist Grade-F&G are equated with Assistant Professor, Associate Professor and Professor respectively, exclusively for the purpose of research supervision, subject to fulfillment of other requirements stipulated in these Regulations.

5.3 A Professor as Research Supervisor/Co-supervisor, at any given point of time, shall guide not more than eight Ph.D. scholars. An Associate Professor as Research Supervisor shall guide up to a maximum of six Ph.D. scholars and an Assistant Professor as Research Supervisor shall guide up to a maximum of four Ph.D. scholars.

5.4 The Department, in case of topics which are of inter-disciplinary nature and where the expertise in the Department has to be supplemented from outside, may nominate a Supervisor from the Department itself as the Research Supervisor, and a Co-supervisor from outside the Department/ Faculty/College/or other Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges and duly approved by the University.

- 5.5 Teachers/scientists who have retired from the service of the University/affiliated colleges/approved research institutions, adjunct faculty, visiting faculty, technical staff, library staff, administrative staff, teachers serving outside the geographical jurisdiction of the University and teachers appointed on contract basis shall not be recognized as Research Supervisors under the provisions of these regulations.
- 5.6 Allocation of research supervisor for a selected research scholar shall be decided by the Department Doctoral Committee concerned depending on the number of scholars per research supervisor, available specialization among the research supervisors and research interests of the scholars as indicated by them at the time of interview.
- 5.7 The Department Doctoral Committee concerned shall prepare a list of eligible scholars in line with clause 5.6 of these Regulations and allocate the scholars, in the list, to the research supervisors giving due consideration to research interests of the scholars as indicated by them at the time of interview and willingness of the research supervisor in a meeting specifically convened for the purpose.
- 5.8 The research data, in case of relocation of the woman scholar for Ph.D. due to marriage or otherwise, shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar shall give due credit to the original Research Supervisor and the institution for the part of research already done.

6. Course Work

- 6.1 The course work for Ph.D. shall be of a minimum of 12 credits and a maximum of 16 credits.
- 6.2 A minimum of four credits shall be assigned to one or more courses on Research Methodology which shall cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, and field work and other areas found relevant to the discipline concerned. Other courses shall be advanced level areas in the subjects concerned for enabling the students to acquire deep knowledge in the preparation for Ph.D. degree.

- 6.3 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirements and shall specify content, instructional and assessment methods duly approved by Academic Committee of CSS in the University.
- 6.4 The Department where the scholar pursues research shall prescribe the course(s), based on the recommendations of the Department Doctoral Committee, as stipulated under sub-clause 8.1 below, of the Research Scholar.
- 6.5 Scholars admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one year from the date of registration for research, failing which the registration for research may be cancelled. The reappearance of the scholar for the courses in which required credits are not secured shall be permitted within the duration of one year specified.
- 6.6 Scholars already holding M.Phil. Degree and admitted to the Ph.D. programme or those who have already completed the course work in M.Phil. programme and have been permitted to proceed to the Ph.D. in integrated course, shall also have to successfully complete the Ph.D. course work, except course(s) on Research methodology, prescribed by the Department within one year, as specified in clause 6.5 above.
- 6.7 Grades in the course work, including research methodology courses, shall be finalized after a combined assessment by the Department Doctoral Committee and at least one external examiner, and the final grades shall be communicated to the Vice Chairman of CSS in the University.
- 6.8 The Ph.D. Scholar has to obtain a minimum of 'B' Grade in the UGC 7-point scale in the course work with a minimum of 55% marks in order to be eligible to continue in the programme and submit the thesis.

7. Role of Department Doctoral Committee

7.1 The Department Doctoral Committee shall be responsible to:

7.1.1 Review the research proposal and finalize the topic of research;

7.1.2 Orient the research scholar to develop the study design and methodology of research;

7.1.3 Identify the course(s) to be undertaken; and

7.1.4 Review periodically and assess the progress of the research work of the research scholar.

7.2 The Department Doctoral Committee shall, once in six months, insist the scholar to make a presentation of the progress of research work before the Committee for evaluation and further guidance.

7.3 The Department Doctoral Committee shall communicate the six-monthly progress reports to the University and serve a copy of the same to the research scholar concerned.

7.4 The Department Doctoral Committee, in case the progress of the research scholar is not satisfactory, shall:

7.4.1 Record the reasons for the same and suggest corrective measures; and

7.4.2 Recommend to the University for cancellation of registration, if the research scholar fails to implement the corrective measures suggested, citing specific lapses on the part of the scholar.

8. Evaluation of Theses

8.1 The Ph.D. Scholar shall, upon satisfactory completion of course work and obtaining the grade prescribed in sub-clause 6.8 above, be required to undertake the research work and produce a draft thesis within a reasonable time, as stipulated by the University based on these Regulations.

8.2 The scholar shall make a pre-submission presentation of the thesis in the Department, before a Board consisting of Department Doctoral Committee, an external expert and Dean of the Faculty concerned.

8.3 Pre-submission presentation shall be open to all faculty members and research scholars/students, and the feedback and comments obtained from the participants may be suitably incorporated into the draft thesis, as advised by the Board.

- 8.4 The Chairperson of the Doctoral Committee shall countersign the certificate attested by the supervising teacher and contained in the thesis to be submitted to the University, that the feedback and comments obtained from the participants are suitably incorporated into the draft thesis, as advised by the Board.
- 8.5 Ph.D. scholars shall publish at least one research paper in refereed journal, duly approved by the UGC/University, and make two paper presentations in conferences/seminars, recognized by the Department Council concerned, before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and reprints.
- 8.6 The thesis submitted for adjudication shall contain an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism using the software approved by the UGC/University and that the work has not been submitted for the award of any other degree/diploma of the University or to any other Institution.
- 8.7 The thesis for Ph.D., submitted for adjudication, shall be evaluated by the respective Research Supervisor and two External Examiners, who are not in employment of the University, of whom one examiner may be from outside the country.
- 8.8 The two External Examiners for evaluation of Ph.D. thesis shall be appointed by the Vice Chancellor from among the panel of ten experts prepared and submitted by the supervising teacher and duly scrutinized by Head of the Department and countersigned by Dean of the Faculty concerned invariably with sufficient modifications, if required, giving due consideration to the specialization in the topic of study.

9. Public Viva Voce

- 9.1 Public viva voce, based on the observations given in the evaluation report, shall be conducted by a Board consisting of one of the External Examiners, in the duly approved panel nominated by the Vice Chancellor, as Chairperson, Dean of the Faculty concerned and the Research Supervisor as members.
- 9.2 Public viva voce shall be open to all faculty members of the Department, research scholars and interested experts/researchers/students.

- 9.3 Public viva voce of the research scholar to defend the thesis shall be conducted only if the recommendations in the evaluation report(s) of the External Examiner(s) on the thesis, submitted in the format specified by the University for the purpose, is/are satisfactory and specific recommendation for conduct of the public viva-voce is made.
- 9.4 The thesis shall be sent to another External Examiner, contained in the approved panel of examiners, in case the evaluation report of one of the External Examiners is unsatisfactory and does not recommend for conduct of the public viva-voce.
- 9.5 Public viva-voce examination, in respect of scholars referred to in Clause 9.4 of these Regulations, shall be held only if the recommendation in the report of the third External Examiner is satisfactory.
- 9.6 The thesis shall be rejected, in case the recommendation in the report of the third External Examiner is unsatisfactory and the research scholar concerned shall be made ineligible for the award of the degree, based on the thesis already submitted.
- 9.7 A scholar who fails in the public viva voce, in the first instance, conducted to ascertain the genuineness of the research shall be required to reappear once for public viva voce within six months but not before three months from the date of conduct of first public viva voce, by remitting the fee prescribed by the University. The recommendations of the Board in the second instance shall be approved by the University and no more chance for public viva voce shall be available to the scholar.
- 9.8 The University shall formulate appropriate methods, so as to complete the entire process of evaluation of the thesis for Ph.D. in a time bound manner.

10. Academic, administrative and infrastructure requirement for offering Ph.D. programmes

- 10.1 Post-graduate Departments of affiliated Colleges and Research laboratories of Central/State Government with at least two Ph.D. qualified teachers/scientists in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 10.2, shall be considered eligible to offer Ph.D. programmes, provided the other conditions specified by the University are fulfilled.

- 10.2 Post-graduate Departments of Colleges and Research laboratories of Central/ State Government with adequate facilities for research as mentioned below alone shall be allowed to offer Ph.D. programmes:
- 10.2.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the University with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;
- 10.2.2 Earmarked library resources including latest books, international journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/Library for reading, writing and storing study and research materials;
- 10.2.3 Colleges may access the required facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.
- 10.3 Research centers, granted approval prior to 5th July 2016 by the University, shall be permitted to retain the research scholars who have applied for their registration prior to date of commencement of these Regulations in force. However, registration to research leading to Ph.D. programme shall be allowed under the provisions of these regulations only in Research Centers, fulfilling the requirements specified in Clauses 10.1 and 10.2 of these Regulations.

11. Treatment of Part time Ph.D.

- 11.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct Ph.D. Programmes through distance education mode.
- 11.2 Part-time research for Ph.D. shall be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met in full irrespective of part time research or full time research.
- 11.3 Scholars granted registration shall have to mark attendance in the department/research center concerned for not less than 180 days prior to submission of thesis in not more than three spells as full time research scholar.

12. Award of Ph.D. degrees prior to Notification of these Regulations

- 12.1 Award of degrees to candidates registered/waiting for registration for research leading to Ph.D. on or after July 11, 2009 till 4th July 2016 shall be governed by the provisions of the UGC(Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree)Regulation 2009 and subsequent Regulations and guidelines thereof adopted by the University
- 12.2 Recognition of Ph.D. degree awarded by the Foreign University shall be decided based on the recommendations of the Standing Committee of the Academic Council.

13. Depository with INFLIBNET

- 13.1 The University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, for hosting the same accessible to all.
- 13.2 The University shall issue a separate Certificate to each scholar, prior to the actual award of the Degree, to the effect that the Degree has been awarded in accordance with the provisions of the UGC(Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree)Regulations 2016.

14. Rules and procedures

The rules and procedures for conduct of coursework/pre-submission presentation/evaluation of thesis/public viva-voce within the frame work of these regulations shall be framed by the University, giving due consideration to these Regulations.

15. Repeal and Saving

- 15.1 All directives and orders issued, before the commencement of these regulations, by the University under the then existing regulations and guidelines shall continue to apply for the period for which such orders/directions were issued. All guidelines issued shall continue to have effect until such rules are rescinded or modified, as the case may be, and save, as otherwise provided in these regulations are hereby repealed.
- 15.2 In case of disputes, the Vice Chancellor, as the academic head of the University, shall examine the cases individually and take an appropriate decision.