

Regulations for the Award of the Degree of Doctor of Philosophy (Ph.D.) of the Central University of Kerala, 2021

This Regulations, framed in consonance with the UGC Regulations 2016 and its subsequent amendments till date, shall be called the *Central University of Kerala Regulations for the Award of the degree of Doctor of Philosophy (Ph.D.), 2021*. This, in addition to the Ordinance - 12 of the Central University of Kerala shall facilitate the PhD Programme of Central University of Kerala. It shall come into force after the approval of the Academic Council and the Executive Council of the University.

Admission

1. Application for admission to the PhD. Programme will be received twice in a year, in June-July and December-January.
2. Candidates holding Master's Degree in the relevant disciplines with at least 55% marks in aggregate, or its equivalent grade, or an equivalent Degree from an accredited foreign educational institution are eligible to apply for Ph.D. admission. A relaxation of 5% of marks or its 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 per the decision of Commission from time to time, or for those who have obtained Master's degree prior to 19 September 1991. The aggregate marks and equivalent grades are permissible based only on the qualifying marks and without including grace mark procedure.
3. Admission to Ph.D. programme shall be made through an interview conducted by the Departmental Research Committee (DRC). Candidates holding NET or those who are selected for JRF (from UGC, CSIR, DST-INSPIRE*, DBT, ICMR, ICAR, NBHM, ICSSR, KSCSTE or similar Governmental bodies) /GATE/teacher fellowship holders or qualified in an entrance test conducted by the University or similar test conducted at National level are eligible to be considered for interview. (*INSPIRE scholars who are eligible for fellowship application are also considered for interview and provisional registration. However, they should secure fellowship within one year from the date of joining failing which their registration may get cancelled.)
4. Those who have JRF can apply any time. And they will be considered twice in a year, in June July admission and in December-January admission. While considering JRF candidates for admission, wherever applicable, they shall be considered in the category in which they have qualified JRF.
5. Candidates working in Government-funded projects, with at least a minimum of two years of fellowship remaining, may be permitted to appear for interview along

with other candidates qualified for Ph.D. admission in June-July/December-January semesters, provided they pass the test conducted by the DRC and meet other eligibility conditions for admission. However, such candidates shall take up research in the areas directly corresponding to their project. In all such cases, the Principal Investigator shall be the Research Supervisor under whom the research is carried out.

6. Foreign students, who have been sanctioned scholarships under the cultural exchange programme /other such programmes of the Government of India and other countries, may be admitted to the PhD programme of the University. The University may constitute an admission committee consisting of the Director of Research (DoR), the Head of the Department (HoD) concerned and research guides of the respective departments. If a foreign student applies for PhD programme and declares that he/she is a self- financing student, such candidates may also be considered by the University for admission. The admission committee shall make admission of these candidates. In both the cases, university may hold a test/interview, if necessary, to ascertain the competence of the candidate to undertake a PhD work.
7. A faculty member of the Central University of Kerala is eligible to register for Ph.D. in the same Department where she/he is working. In such cases, one of the faculty members of the concerned Department shall be the supervising teacher. The registration for Ph.D. will be granted initially on full- time basis. During the period -of course work, the-HoD shall rearrange the workload of the candidate in the Department by relieving him/her either fully or partially from teaching responsibilities. If he/she is relieved fully from teaching responsibilities for six months, his/her entitlement for sabbatical leave after the first 7 years of service at the University would be deemed to have been used up. On completion of the course work, the registration of the candidate shall be converted into part-time mode and the part-time registration rules shall apply thence forth.
8. Persons working as the Scientists, Assistant Professors, Administrators, Executives under Government services/public sector undertaking/ private sector undertakings and NGOs at the middle and top-level management with minimum of 10 years of experience and Central University of Kerala's Non-teaching employees of all grades, who have rendered not exceeding 8 years of service part time PhD registration is permitted. may be allowed to register for PhD subject to the fulfilment of the eligibility criteria prescribed for the candidates. Such candidates may be admitted to the PhD programme of the university in any of the departments/RRCs. They shall follow all the regulations of the PhD programme. However, they may be permitted to complete the course work as per DRC recommendation.

Procedure for Admission

9. Every student applied for admission and satisfying the minimum eligibility conditions shall be invited by the Department for an interview conducted by DRC for admission. The students invited for interview are free to approach and discuss with the guides/supervisors of the Department for discussing their research interest and they shall prepare a broad research proposal under a broad topic (in one page), which shall be presented by the student at the interview. A list of those students who are selected and wait listed (if any) against each vacancy shall be prepared by the Head based on the marks given as per the following criteria:

(a)	Qualified in NET/Similar test without Fellowships	60%
(b)	Secured Junior Research Fellowship, or secured offer for JRF	70%
(c)	Research proposal (to be awarded by respective teacher)	15%
(d)	Performance in interview	15%

10. The HoD shall serve the advice for provisional admission and upon joining forward the application along with supporting Documents to the DoR for provisional Registration.
11. Only upon receipt of the registration order, the prescribed fee should be paid. The registration will be effective from the date of admission (joining). But the fee is deemed to have been paid for the semester in which admission is conducted. The student shall pay the fee as applicable from the next academic semester onwards at the beginning of the semester itself. The fee structure of the industrial /NGO/ Governmental candidate may be decided by University by the DRC recommendation.
12. The registration will be effective from the date of joining unless otherwise specified. The registration order will be issued by the DoR, indicating the Name of the student, date of registration, topic of research, and the name of the supervisor.
13. Ordinarily a student is expected to join in two weeks' time after receiving the selection letter. The HoD may allow a candidate to extend the joining time up to one month. The DRC may allow a candidate to take up to 3 months for joining the programme in exceptional cases like maternity cases.
14. The list of provisionally registered candidates along with the names of supervisor(s) shall be forwarded to the Honourable Vice Chancellor through DOR for ratification in every quarter.

Research Supervisor

15. Any regular Professor/Associate Professor of the University and any regular Assistant Professor of the university with a Ph.D. degree and at least two research publications in UGC care listed/refereed journals (other than MPhil/PhD publications) may be recognized as Research Supervisor; provided that in areas/

- disciplines, the Academic Council may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
16. Only a full time regular teacher of the University can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter- disciplinary areas from other departments of the University or from other related institutions with the approval of the Research Advisory Committee.
 17. The co-guideship will be taken into account (as 0.5) for counting the number of vacancies for PhD admission under a Research Supervisor.
 18. The Departmental Research Committee (DRC) constituted as per the guidelines of Ordinance 12 shall allocate Research Supervisor for the selected research scholars considering the number of scholars per Research Supervisor, the specialization among the Supervisors and the research interests of the scholars, as indicated by them at the time of interview/viva voce.
 19. In the allocation of research students to research supervisors, the Reservation in Admission Act 2006, and any subsequent communication from UGC time to time shall be strictly followed so as to maintain the percentage of reservation under each supervisor. Each DRC shall maintain an internal Roster register.
 20. In case of topics which are of Trans-disciplinary/Multidisciplinary/Inter-disciplinary where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ School/ University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.
 21. Emeritus/adjunct faculty can act as Co-Guide till the end of their service in the University to utilize their expertise.
 22. A Research Supervisor who is a professor, at any given point of time, cannot supervise more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can Supervise up to a maximum of Six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can Supervise up to a maximum of Four (4) Ph.D. scholars. This allocation is subjected to the UGC PhD regulations that may come into effect from time to time.
 23. The vacancy against a research supervisor arises after submitting thesis by a student who have registered under him/her supervision. A supernumerary post of one per faculty is allowed.
 24. In case of relocation of a PhD woman scholar due to marriage or otherwise the research data 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 will however give due credit to the parent supervisor and the institution for the part of research already done. This shall be allowed only in exceptional cases and not as a routine one. The matter shall be referred to the DRC and DRC shall

examine the case before such a permission is recommended to the university. The decision of the Vice-Chancellor shall be binding on the candidate and research supervisor.

Transdisciplinary/Multidisciplinary/Interdisciplinary Research

25. Trans-disciplinary/Multidisciplinary/Inter-disciplinary research catering to the needs of the society should be encouraged while deciding the topic research in the departments and RRCs of the Central University of Kerala. Such a research can be undertaken by research students in any of the departments/RRCs of the Central University of Kerala. In these cases, the DRC can decide on the requirement of the research supervisor/ co-guide and the qualifications of the candidates.

Topic of Research and the Title of thesis

26. A student shall register for PhD in a specified 'topic' of research at the time of admission.
27. The title of the thesis shall be specified at the time of submission of the synopsis, and the student need to get the consent for the title of the thesis from the RAC in the prescribed format applicable for the submission of synopsis.
28. A research student shall be eligible to apply for revision of the topic of research at least one year prior to the submission of the synopsis and the DRC shall be competent to give assent to the request if it is recommended by the RAC, provided that such application shall be permitted only once during the period of registration of the student.

Conversion of Registration from Full-time and Part-time and De-registration

29. Conversion of registration from full-time to part-time and vice-versa shall be allowed as the Ordinance 12 of the Central University of Kerala. However, if the research student has already completed the pre- submission presentation and the committee has recommended the submission of final thesis, he/she may be allowed to submit the thesis without conversion from the full-time to part- time. The candidate has to produce a certificate to this effect from his/her supervising teacher.
30. A PhD student shall be eligible to apply to **deregister** from the PhD program for valid reasons, after completing the minimum residential period, with supervisor's consent and DRC's recommendation. A vacancy is then made open with the supervisor. The student shall also be eligible to **re-register** within a period of ten years from the time of registration and complete the PhD programme (under the same supervisor, or with other supervisor in case the original supervisor cannot

guide him/her for any reason, as decided by DRC), the total time of registration will not include the deregistered period. However, the student needs to pay all the fees for the period under de-registration.

Attendance and Leave

31. All the full-time research scholars shall attend the department on full time basis until the submission of the final thesis. The supervisor shall maintain attendance register of the students registered under him/her.
32. A full-time research Scholar shall be eligible to avail leave for thirty-days in one calendar year and Maternity/Paternity leave as per rules, along with leave without fellowship for three months on medical grounds or for any other genuine reason with the consent of the research supervisor.
33. The Vice Chancellor will have the power to sanction any other kind of leave over and above the existing ones in exceptional cases based on the merit of the case.

Change of Supervisor

34. Ordinarily, a request for change of supervisor can be made only once. Such requests recommended by the DRC should be made on valid grounds such as superannuation, resignation, incapacitation, long leave etc. In all such cases there has to be a request from the student and consent from the existing supervisor and the prospective supervisor (as the case may be) and a specific recommendation for DRC. This provision of changing supervisor is not permitted in case of research students admitted through research projects. In exceptional cases, the Vice Chancellor may allow the change of Supervisor more than once.

Mandatory Course Work and Course Registration

35. Every student registered for the Ph.D. programme shall be required to undertake a mandatory course work for a minimum period of one semester (six months) in the University Department concerned. The Course and Credit shall be as follows.

Title of the Course	Credit	CA (%)	ESA (%)	Total
Course 1. Research Methodology	4	40	60	100
Course 2. Research and Publication Ethics	2	40	60	100
Course 3. Course Related to the specific area of research	4	40	60	100
Course 4. Course Related to the specific Research Proposal	6	0	100	100

36. The courses can be registered using CBCS Form # 1 at the beginning of the semester and the results are to be submitted for Dean's approval in Form # 3 at the end of the semester.
37. The instructors for the courses 1 and 2 shall be arranged by the HoD/ Centre. Courses 3 and 4 shall be taught by the supervisor or those teachers suggested by RAC. All components of evaluation and grading shall be done by the respective instructors and the grades are communicated to the HoD who shall arrange for the approval by the Dean of the School using CBCS Form 3. The Grade cards shall be issued by the Controller of Examinations (CoE), upon the approval by the Dean.
38. The Course work shall be completed within one year from date of registration and can be done in one semester or split into two semesters.
39. Apart from mandatory course work, students shall be required to register for the core course 'guided research' in every semester. The supervisor shall act as course instructor and the evaluation shall be done by the RAC at the end of the semester and award grades: X (satisfied) or Y(not satisfied). Student need X grade for moving to the next semester. This course carries 0 (Zero) credit. CBCS Form 1 and 3 shall be used for registration and award of grades.
40. The supervisor and another member of RAC shall constitute quorum for the evaluation of student at the end of the semester.

Pre-Synopsis presentation

41. Prior to submission of the synopsis, the Research Scholar shall make a Pre-synopsis Submission Presentation before the DRC and in which the presence of faculty members and research students shall be ensured, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the Supervisor. The Research Supervisor must intimate to the Office of the DoR about the details of conducting the meeting of DRC for Pre-synopsis Submission Presentation, well in advance through proper channel. In case of non-receipt of required documents, the submission of Thesis shall not be entertained.

Submission of Synopsis

42. Submission of the Synopsis is the first step in the initialization of the adjudication process. The student shall submit the synopsis to the Dean of the School, through the HoD. Dean shall forward the same to COE under intimation to DOR.
43. The Head shall issue a letter of acceptance of synopsis to the student indicating the title of the thesis and date of submission, and forward a copy to the DOR. The Dean shall forward the synopsis to COE to initialize the adjudication process.
44. The Department shall check the following points before accepting the synopsis.
 - (i) Whether all the fees have been paid (Proof needed)
 - (ii) Whether Course work

- was completed ? (Grade sheet of course work or copy of MPhil certificate) (iii) Proof for the necessary two presentations at seminars have been made. The student shall present the proof for the same to the Supervisor and the supervisor who shall certify it and forward it to the HoD. (iv) Proof of publication of a paper and whether the paper is a refereed journal in the UGC care /SCOPUS/Web of Science/ABDC list. The supervisor shall certify.
45. Ph.D. synopsis submission form shall be filled along with the proper supporting documents as per the checklist provided in the format given.

Submission of Thesis

46. After successful completion of research work and writing thesis, the student shall submit 3 bound copies (2 for evaluation and one for display in the library before the viva voce) and a soft copy of the thesis to the COE through HOD along with (i) Copy of synopsis submission certificate issued by HOD. (ii) Plagiarism checking certificate issued by the University Librarian. (iii) Thesis submission form forwarded by the research supervisor(s) and HoD.
47. A certificate of acceptance of thesis indicating title of thesis and date of submission shall be issued by HOD to the student, with a copy to the DOR. DOR shall verify the registration details.
48. Simultaneously, a panel of 8 adjudicators of which 5 from outside Kerala, not in the service of the Central University of Kerala (Professors or Associate Professors with experience in guiding Ph.D) who has research experience in the area, shall be submitted by the supervisor in a sealed cover marking the registration number, and name of the student, and title of thesis, directly to COE.
49. Students shall obtain the No-dues certificate (in the prescribed form) before the conduct of Open Defence/Viva-voce examination, from (i) The supervisor, (ii) The HOD, (iii) The University Librarian, (iv) The Hostel Warden, (v) The Dean of Students' Welfare, (vi) The head of the University Central Instrumentation Facilities (in case of science departments), and (vii) any other department/centres which the department and the University/RAC may direct.

Inviting Adjudicators

50. Immediately after the receipt of the thesis in proper form and issuance of letter to the student, the CoE shall invite two adjudicators selected by the Vice-Chancellor from a panel of eight adjudicators submitted by the Supervisor to evaluate the thesis. The supervisor shall be the internal examiner. A copy of synopsis shall be sent along with the invitation. Upon receiving their willingness, the CoE shall despatch thesis to each of them immediately after receiving the consent with an adjudication format. The adjudicators shall be asked to report in the given format within 45 days of thesis received.

51. Electronic means shall be used for adjudication at each stage, wherever possible.

Viva-voce Examination

52. The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory and include a specific recommendation for conducting the viva-voce examination. If the evaluation report of any of the external examiners, is unsatisfactory and does not recommend viva-voce, the Controller of Examination shall send the thesis to another external examiner out of the approved panel and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory.
53. Upon receiving specific recommendations for the conduct of Viva-voce from both the external examiners (adjudicators), the VC shall select one among them as Chairman of the Open Defence/Viva-voce Board, and supervisor as the Convener. An order may be issued by the CoE for holding the Viva-voce in consultation with the supervising teacher with copies to the HoD, DoR and Dean.
54. The Convener shall decide a time and date for Open Defence/Viva-voce examination, in consultation with the HoD and the Chairman of the Open Defence/Viva-voce board. The Convenor shall also notify the research student well in advance.
55. The Convener of the Open Defence/Viva-voce Board shall make all arrangements necessary for the conduct of Open Defence/Viva-voce. She shall cause to publish the details of the Open Defence/Viva-voce examination, such as name of the research student, title of the thesis, venue, date etc. on the notice board of the University Department/School/RRC concerned and shall send invitations to scholars whose participation will enrich the proceedings of the Open Defence.
56. The convener shall also arrange to display a copy of the thesis in the library (with help of CoE) of the University/ Department/School concerned (not of the RRC) three days prior to the date fixed for the Open Defence.
57. At the Open Defence/Viva-voce, the research student shall make a presentation on the research problem, significance of her/his work, methodology used, the salient features of the study, major findings/results and their policy implications/prospects for further study, as the case may be. This shall be followed by a viva-voce examination conducted by the Open Defence/Viva-voce Board. The research student may also respond to questions put forward by the audience with the permission of the Chairman.
58. The Chairman of the Open Defence/Viva-voce Board should circulate the adjudication reports among the audience and shall record the minutes of the Open Defence/Viva-voce in a Minutes Book maintained for the purpose by the HoD. Members of the audience shall enter their names and affix their signatures in the attendance sheet/book circulated.

59. A report needs to be prepared for incorporating the recommendation of the Viva-Voce Board with the following contents and the same may be made available in the University website.

Name of the candidate:
Title of the Thesis:
Date of Open Defence:
Venue and Time:
Recommendations of the Open Defence/Viva Voce Board:

[.....]

Signatures of (Supervisor), (Head), (Chairman)

60. Viva- Voce Board report should be submitted to the office of the CoE after the open defence.
61. After completing all the formalities relating to the Ph.D., the notification of the award letter may be issued with the approval of the Vice-Chancellor (with a copy to DOR) subject to the ratification by the Academic Council and Executive Council.

Depository with INFLIBNET

62. Following the successful completion of the evaluation process and after the announcement of the award of Ph.D. Degree, the Librarian shall submit an electronic copy of the Ph.D. thesis to INFLIBNET for hosting the same to make it accessible to all Institutions/ Colleges. However, the researcher be allowed time to complete all the articles from the PhD work before the electronic copy is sent to INFLIBNET. This is to ensure that an article is not rejected by a journal merely because the materials of the article are similar to that of the thesis hosted on the INFLIBNET.

Power to Remove Difficulties

63. In case there is any difficulty in the operation/implementation of these regulations, the vice chancellor shall have the power to exercise his/her discretion to implement the regulations smoothly.

Appendix: Various Forms

