

# COCHIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

(Cochin University P.O., Kochi-22)



No. Ac. B2/Ph. D Regulations/2022

KOCHI-22

Dated: 05.07.2023

## **NOTIFICATION**

In exercise of the powers conferred by Section 24 (ii) read with Section 42(1) of the CUSAT Act 1986, the Academic Council at its meeting held on 03.04.2023, vide Item No.41, made following Regulations regarding admission to and award of the Ph.D. Degree of CUSAT.

The Syndicate at its meeting held on 17.06.2023 vide item No.712.12, considered along with the recommendations of the Standing Committee of the Syndicate on Academic Matters, the implementation of Ph.D. Regulations, 2023.

*The Syndicate resolved to approve the Ph.D. Regulations, 2023 of the University and to implement the same with effect from 01.07.2023. (Appendix I).*

*The Syndicate further resolved that all Research Scholars admitted through DAT 2023, shall be governed by these Regulations, irrespective of the date of admission.*

**Dr. Meera V \***

Registrar

To

1. All Heads of Teaching Departments/Principals of Colleges/Directors of Schools.
2. The Controller of Examinations/Joint Registrar(Exams/Academic)
3. All Deans/Statistical Officer/The Planning & Development Officer
4. PS to Vice-Chancellor/PS to Pro-Vice-Chancellor/PA to Registrar
5. Academic A/C/Exam T/Exam E/UGC(SC/ST)/Exam Confidential Sections
6. All Recognised Research Centres
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# COCHIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Ph.D. REGULATIONS – 2023

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## Preamble

These regulations, named as Cochin University of Science and Technology Ph.D. Regulations 2023, are framed in accordance with the University Grants Commission (Minimum Standards and Procedures for the Award of Ph.D. Degree) Regulations, 2022.

Cochin University of Science and Technology is conducting research programmes in various subjects and inter-disciplinary areas in its Schools/Departments/Centres and other Recognized Institutions leading to the award of the Degree of Doctor of Philosophy under the Faculties listed in the Statutes. The Standards and Procedures for registration, research and award of Ph.D. Degree of the University shall be as per this regulation.

### 1. Short title, Application and Commencement

- 1.1 These Regulations shall be called Cochin University of Science and Technology Ph.D. Regulations, 2023.
- 1.2 These regulations shall apply to every Academic Unit of Research (Schools/Departments/Centres) of the University and Recognized Research Institutions, where Research programme leading to Ph.D. of Cochin University of Science and Technology is being conducted.
- 1.3 These regulations shall come into force from 01.07.2023. These regulations shall govern all new Ph.D. Registrations from the date it comes into force. No new registration may be given under the previous Ph.D. Regulations thereafter. The Ph.D. scholars registered under the old regulations shall continue under the same.

### 2. Recognized Institutions

The University may decide to accord recognition, in specified Faculties, on the recommendation of the Academic Council, to a Research/Educational Institution under the control of Central/State Government as per the provisions of the Cochin University of Science and Technology (CUSAT) Act 1986 and the relevant statutes and ordinances in this regard, provided the University is satisfied that the Institution will be able to provide the required facilities to candidates to pursue their studies in the Institution for the Degree of Doctor of Philosophy (Ph.D.) of the University in the Faculties concerned and to fulfil such other conditions that the Syndicate may stipulate from time to time.

### 3. Research Supervisor

- 3.1 Permanent faculty members working as **Professor/Associate Professor** of the University **with a Ph.D., and at least five research publications** in SCI (Science Citation Index), Scopus Index, SSCI (Social Science Citation Index) or AHCI (Arts & Humanities Citation Index) journals or UGC approved care list of journals and permanent faculty members working as **Assistant Professors** in the University **with a Ph.D., and at least three research publications** in SCI (Science Citation Index), Scopus Index, SSCI (Social Science Citation Index) or AHCI (Arts & Humanities Citation Index) journals or UGC approved list of journals shall be recognized as a Research Supervisor. Such recognized Research Supervisors cannot supervise Research Scholars in Institutions, other than CUSAT, where they can only act as Co-Supervisors.





The scientists working at recognized Research Centres who hold a position equivalent to Professor/Associate Professor/Assistant Professor can be recognized as Supervisors if they fulfil the above requirements.

Co-Supervisors from within the same Department or other Departments of the University or other Institutions may be permitted with the approval of the University.

Co-Supervisors from Industry having collaboration with the University under MoU shall be permitted with the approval of the University.

Adjunct Faculty members shall not act as Research Supervisors and can only act as Co-Supervisors.

- 3.2 A person who has joined in an Academic Unit of research in the University under INSPIRE faculty scheme/tenure track/faculty recharge scheme etc. for a period not less than five years can also be recognized as Research Supervisor, fulfilling the other conditions of research publications.
- 3.3 The allocation of Research Supervisor for a selected Research Scholar shall be decided by the Research Committee of the concerned Department/School/Centre, depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of selection interview. Co-Supervisor can be allowed in inter-disciplinary areas from other Departments of the same Institute or from other recognized Institutions.
- 3.4 The number of Research Scholars that a Professor, Associate Professor and Assistant Professor/Scientists in equivalent positions in the Recognized Research Centres of the University, shall supervise at any given point of time is **8, 6 and 4** respectively. Each Departments/Schools/Centres/Recognized Research Institutions of CUSAT shall reserve **25%** of the seats to admit the Research Students who are qualified for assured fellowship/scholarship in UGC-NET, UGC-CSIR-NET and similar National/State Level Tests in the relevant subject area. The maximum number mandated above also includes the number of Ph.D. Scholars supervised/co-supervised by the Supervisor in any other Universities/Research Institutes. Those who are presently guiding a number more than what is mentioned above are allowed to retain them till their completion of research. A declaration to the above effect shall be submitted by the Supervisor on accepting new doctoral student(s). Persons mentioned under Item 3.2 above, will be treated as equivalent to Assistant Professor for the purpose. This is also applicable to all Recognized Research Centres of CUSAT.
- 3.5 A Research Supervisor can take two foreign students sponsored under a scholarship scheme by the Government of India/under a MoU with CUSAT, for Ph.D. Programme, over and above the allotted number.
- 3.6 A Research Supervisor should have at any point of time at least one Research Scholar from reservation category. Preference shall be given to SC/ST candidates.



- 3.7 A Research Supervisor may be recognized under more than one faculty if the person is eligible for the same. The total number of scholars in all faculties under a Supervisor shall also be limited to the number as per rules.
- 3.8 A Research Supervisor on retirement may be allowed to continue to guide the scholars already registered under their supervision at the time of retirement. They will not be allowed to register fresh candidates for supervision. However, the UGC-BSR Faculty Fellow Awardees/CSIR-Emeritus Scientist Scheme Awardees are permitted to Guide two/one candidate respectively with assured fellowships.
- 3.9 If a Research Supervisor leaves the present job and takes up another assignment in an Institution which is not a Recognized Research Centre of the University, the Supervisor may be allowed to continue to guide the scholars already registered under their supervision. They will not be allowed to register fresh candidates for supervision.
- 3.10 In case of relocation of a female Ph.D. 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, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

#### **4. Co-Supervisor**

- 4.1 If the Research Committee feels for valid academic reasons that the service of an additional Supervisor is desirable it may recommend a Co-Supervisor provided both the Supervisors are willing. For reckoning the maximum number of students who may register under a Research Supervisor, the students under co-guidance shall be treated as 0.5 for each Supervisor.
- 4.2 In the case of interdisciplinary/multidisciplinary subjects, there shall be two Research Supervisors, one in scholar's own PG based subject according to which the candidate is registered in a Research Centre and another in the area of subject in which he combines the core subject. In this case, for reckoning the maximum number of students who may register under a Research Supervisor, the students under co-guidance shall be treated as 0.5 for each Supervisor.
- 4.3 Scientists/Researchers working in partnering institutions having MoU on specific projects with a Department of the University may be permitted to be a Co-Supervisor for the students working in that project, irrespective of the geographical jurisdiction subject to approval by the University.

#### **5. Research Committee (RC)**

- 5.1 Every Department/School/Centre of research in the University shall have a Research Committee (RC) with the Head of the Department/School/Centre as Chairman and all the recognized Research Supervisors of the University serving in the Department/School/Centre as members. The Vice-Chancellor shall on the



recommendation of the Dean of the Faculty concerned, nominate additional members from other relevant Departments/Schools/Centres/Recognized Research Institutions to the Research Committee. In Departments where interdisciplinary/multidisciplinary research is pursued, the Committee shall consist of the Research Supervisor(s) approved by the University from other subject(s) who has (have) consented to supervise the candidate(s).

- 5.2 Every Recognized Research Institution shall similarly have a Research Committee with the Head of the Recognized Research Institution or a Research Supervisor working in the Institution nominated by the Chairman as Convener. All the Recognized Research Supervisors working in the Recognized Research Institution, the Deans of the Faculties concerned and the Heads of the Department/School/Centre of the University concerned or their nominees as members.
- 5.3 The Research Committee in the University Departments/Schools/Centres/Recognized Research Institutions shall decide upon the number of Research Students who can be admitted during the next academic year.
- 5.4 The Research Committee shall meet at least twice in a year to review the progress of research work of the registered Research Students in the Department/School/Centre/Recognized Research Institution and record the minutes of the meeting in a Register kept for the purpose. The Chairman shall submit the minutes of the meetings to the University, if required.
- 5.5 In case the progress of the Ph.D. Scholar is unsatisfactory, the Research Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. Scholar fails to implement these corrective measures, the Research Committee may recommend with specific reasons, the cancellation of the registration of the Ph.D. Scholar from the Ph.D. Programme.
- 5.6 The Research Committee shall make recommendations on matters such as (a) the conversion of registration from Full-Time to Part-Time or vice-versa and (b) cancellation of registration in case of unsatisfactory progress, unethical practices in research committed by the student, after giving a chance to hear the Research Scholar concerned.

## 6. Doctoral Committee (DC)

- 6.1 There shall be a Doctoral Committee (DC) to monitor the progress of each student registered for research in the University Departments/Schools/Centres/Recognized Research Institutions. The Doctoral Committee shall provide necessary guidance to the Research Student and shall take efforts to ensure that good progress is made by him/her.
- 6.2 In the case of a University Department/School/Centre, the Head concerned in consultation with the Research Supervisor shall constitute the Doctoral Committee with the Research Supervisor as Convenor, Co-Supervisor (if any) and an approved Research Supervisor from the Department in the same area as members. The Head of the Department/School/Centre shall be the Chairman of the Doctoral Committee.





- 6.3 In the case of a Recognized Research Institution, the Head of the Institution in consultation with the Research Supervisor shall constitute the Doctoral Committee with the Research Supervisor as Convener, the Co-Supervisor, if any, and an approved Research Supervisor from the same or allied area in the University as members. The Head of the Institution (or his nominee) will be the Chairman of the Doctoral Committee.
- 6.4 The Doctoral Committee shall be constituted and conduct its first meeting within a month of admission of the candidate. The meetings of the DC should be convened regularly at least once in every semester for the entire duration of research of the candidate.
- 6.5 The Doctoral Committee shall be in existence during the full period of registration of a candidate and shall be reconstituted on the recommendations of the Supervisor with such changes in membership as may become necessary from time to time in accordance with relevant clauses.
- 6.6 All Research Students shall submit progress reports to the respective Research Supervisors every six months. The Doctoral Committees shall review the progress of the Research Student periodically.
- 6.7 The Doctoral Committee shall make recommendations on matters such as (a) granting leave of the candidate for short term assignments, training etc. and (b) presentation of synopsis.
- 6.8 The Doctoral Committee shall be responsible for the preparation of the confidential panel of adjudicators for evaluation of the thesis with the recommendation of the Dean of the Faculty concerned to the Controller of Examinations for further necessary action.

## 7. Notification for Ph.D. Programme

- 7.1 The Notification for Ph.D. admissions shall be issued once in an academic year through public notification in national daily's. The details shall also be available in the University Website.
- 7.2 All Academic Units of Research of the University and Recognized Research Institutions that are allowed to conduct Ph.D. Programme shall decide on an annual basis through their Research Committee (RC) the number of Ph.D. Scholars to be admitted as per the norms regarding the Scholar-Supervisor ratio and the facilities available.
- 7.3 A candidate who wishes to pursue a programme of study and research leading to the degree of Doctor of Philosophy (Ph.D.) will be required to seek registration to the programme under these regulations as Full-Time or Part-Time Research Student in an Academic Unit of study or in an Institution recognized for this purpose by the University, under an appropriate faculty. In the case of Recognized Research Institutions, Part-Time registration shall be granted only for the permanent employees of the respective Institutions.



7.4 Application for admission shall be submitted to the Head of the Academic Unit of Research concerned in the prescribed form on payment of the required fees. Candidates intending to do research in Recognized Research Institutions shall submit their applications through the Head of Institution to the Head of the concerned Academic Unit of Research.

## 8. Eligibility for admission

The following are eligible to seek admission to the Ph.D. Programme:

### 8.1 Candidates who have completed:

- a) A 1-year/2-semester Master's Degree programme after a 4-year/8-semester Bachelor's Degree programme or a 2-year/4-semester Master's Degree programme after a 3-year Bachelor's Degree programme or qualifications declared equivalent to the Master's Degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.
- b) Equivalent qualification 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 to assess, accredit or assure quality and standards of the Educational Institution.
- c) Candidates with a 4-year/8-semester Bachelor's Degree (**honours with research**) having a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

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

This relaxation to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

### 8.2 Duration of the Programme:-

- a) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work and a maximum duration of six (6) years from the date of admission to the Ph.D. Programme.
- b) A maximum of an additional two (2) years can be given through a process of re-registration as per the rules of the University. However, that the total period for completion of a Ph.D. Programme should not exceed eight (8) years from the date of admission to the Ph.D. Programme.

Provided further that, female Ph.D. Scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. Programme in such cases should not exceed ten (10) years from the date of admission to the Ph.D. Programme.



- c) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. Programme.

## 9. Procedure for Admission

9.1 Admission to the Ph.D. Programme shall be made using the following methods:

- a) An Academic Department may admit candidates who have been awarded fellowships for pursuing Ph.D. Programme by agencies such as UGC/CSIR/AICTE etc. or any similar agencies of the Government of India or Government of Kerala in the relevant subject area based on an interview. They can join research at any time provided they satisfy other academic conditions.
- b) Candidates who are working in funded research projects in the Department/Academic Unit of Research with assured fellowship for at least two years and have qualified NET/GATE or other similar examinations conducted by national agencies.
- c) An Academic Department may admit students through an Entrance Test conducted. The syllabus of the Entrance Test will be decided by the respective Department Research Committee. The syllabus of the Entrance Test shall consist of subject/subjects specific to the Academic Unit of Research concerned. The entrance test namely Departmental Admission Test (**DAT**) will be conducted only once in an academic year before the end of August.
- d) The Departmental Admission Test (DAT) shall have two parts – Written test and Interview. In the case of candidates undertaking interdisciplinary/multidisciplinary research, the written test can be on a subject offered by the academic unit where the candidate is seeking registration.
- e) Students who have secured 50% marks in the DAT are eligible to be called for the interview.
- f) A relaxation of 5% marks will be allowed in the DAT for the candidates belonging to SC/ST/OBC (Non-Creamy Layer)/Differently-Abled category/Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC/Government of Kerala from time to time.
- g) Those candidates who have secured a total marks of 60% or above only will be ranked. A relaxation of 5% marks will be allowed for ranking the candidates belonging to SC/ST/OBC (Non-Creamy Layer)/Differently-Abled category/Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC/Government of Kerala from time to time.

9.2 Recognized Research Institutions and Centres which are eligible to conduct Ph.D. Programme, should notify the criteria for admission, the procedure for admission and all other relevant information for the candidates well in advance in the website of the Institution.





## 10. Exemption from DAT

- 10.1 The following candidates are exempted from the written examination part of the DAT and they shall be ranked separately as per the norms laid down in relevant clauses for the same of these regulations.
- 10.1.1 Foreign students who have been sponsored under a scholarship scheme by the Government of India for undergoing Ph.D. Programme in India.
- 10.1.2 Students from India or abroad coming for Ph.D. Programme based on specific agreements or MoUs of the University.
- 10.1.3 Candidates who have provisionally qualified for INSPIRE fellowship (Ph.D. Registration thus obtained will be provisional and the confirmation of the same will be subject to the award of the INSPIRE fellowship).
- 10.1.4 Regular and permanent teachers from University Departments, Government & Aided Colleges within the state with a minimum continuous service of 5 years as permanent Teachers.
- 10.1.5 Scientists working in Government/Quasi Government R&D Institutions/Public Sector Industries with a minimum continuous service of 5 years as permanent employees.
- 10.1.6 Candidates working/residing outside India (NRI status) shall not be eligible for registration for Ph.D., except as per Clause 10.1.2.
- 10.1.7 Foreign students shall not be allowed to do Part-Time research.
- 10.2 All candidates who have passed the written part of DAT with a minimum of 50% marks as well as those exempted from DAT shall be required to present themselves for an interview with the Research Committee (RC) or with a Sub-committee constituted for the same. In the case of admission for interdisciplinary research the Committee or Sub-committee shall consist of the Research Supervisor(s) from other subject(s) who has (have) consented to co-supervise the candidate.
- 10.3 Candidates applying for registration as Part-Time Research Scholars shall be considered for registration only in cases where the Research Committee (RC) is convinced that effective supervision can be ensured. The RC shall also check on the regularity and progress of the Ph.D. work being carried out by the scholar.

## 11. Preparation of Rank list

- 11.1 Separate Rank list/Eligibility list shall be prepared with the following criteria/weightage of marks after the admission process **(I)** Eligibility list for candidates who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET and similar National/State Level Tests with fellowship in the relevant subject area **(II)** Rank list for DAT Qualified Candidates **(III)** Rank list for DAT Exempted Candidates.





**TABLE 01:** Weightage of marks for the preparation of Rank List of Candidates to be admitted for Ph.D. Programme in the University.

No.	Category & Criteria	Weightage
<b>I</b>	Candidate who qualified for fellowship/scholarship in UGC-NET/UGC-CSIR-NET and similar National/State Level Tests	
	a. Interview	<b>100%</b>
<b>II</b>	<b>DAT Qualified Candidates</b>	
	a. Written Test	<b>50%</b>
	b. Master's Degree	<b>20%</b>
	c. UGC-NET/UGC-CSIR-NET/similar exams	<b>10%</b>
	d. Interview	<b>20%</b>
<b>III</b>	<b>DAT Exempted Candidates</b>	
	a. Master's Degree	<b>50%</b>
	b. Interview	<b>50%</b>

- 11.2 a) The interview for the candidates applying under Category **I** may be conducted periodically and list of eligible candidates with respect to Category **I** should be published after every interview process.
- b) The admission process of the candidates under Category **II** & **III** will be conducted only once in a year and the final rank list showing admission lists and the waiting list of all eligible candidates shall be displayed on the notice boards of the respective Academic Unit of Research/Recognized Research Institutions and also will be published on the University Website. The rank list shall be valid till 31<sup>st</sup> December of the year.
- c) Category **I** candidates who qualify the fellowship/scholarship in UGC-NET/UGC-CSIR-NET and similar National/State Level Tests in the relevant subject area shall be given preference for admission.

For admission in remaining seats, a ratio of 5:1 may be maintained between Category **II** and Category **III**.

## 12. Admission and Registration

- 12.1 A candidate who has been ranked and recommended for provisional admission shall take the admission within fifteen days from the date of issue of memo after paying the required fees and fulfilling such other requirements as per the admission rules.
- 12.2 The Head of the Academic Unit of Research/Recognized Research Institution shall be empowered to give an extension of time for a further period up to three months to the candidate, if so requested by the candidate and recommended by the Research Supervisor (within the validity period of the rank list).



- 12.3 The Head of Department/Recognized Research Institution shall forward to the University a consolidated list of all those who are admitted to the Ph.D. Programme within ten days after the validity of the rank list.
- 12.4 The University shall allot registration numbers to students admitted for the Doctoral Programme with effect from the date on which he/she paid the prescribed fees and was admitted to the respective Department/School/Centre/Recognized Research Institution concerned.
- 12.5 The time schedule for the admission and registration process will be as decided by the University from time to time and shall be published on its website.
- 12.6 Candidates who are exempted from DAT under the Clauses 10.1.1 to 10.1.3 (with assured fellowship) may be admitted at any time during the academic year on submission of applications in the prescribed format with the consent from a recognized Research Supervisor and the recommendations of the Research Committee.
- 12.7 The University shall maintain the list of all Ph.D. registered students on its website with the details such as the name of registered candidate, topic of research, name of Supervisor/Co-Supervisor and date of registration. All Academic Units of Research shall provide these details on year-wise basis to the Registrar before 31<sup>st</sup> December.

### 13. Course Work

- 13.1 (a) The Credit requirement for the Ph.D. coursework is a **minimum of 18 credits**, including "Research and Publication Ethics" and Research Methodology Courses. The Research Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. Programme.
- (b) All Ph.D. Scholars, irrespective of discipline, shall be required to train in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. The Ph.D. Scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.
- (c) A Ph.D. Scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work will be eligible to continue in the programme and submit his or her thesis.
- 13.2 After having been admitted, each Ph.D. student (both Full-Time and Part-Time) shall be required to undertake course work on a full time basis for a minimum period of one semester with a minimum total of 18 credits. The course work should be completed within TWO years from the date of joining for research, by all Research Scholars, failing which they will be deemed to have discontinued the Ph.D. Programme (Part-Time Research Scholars will have to take leave from their regular job and attend the course work for a semester on Full-Time basis). The course work shall be done along with the ongoing semester in the Department.



13.3 The course work shall be treated as Pre-Ph.D. preparation. The structure of the course work shall be as follows with credits marked in the Table.02. Additional course work with clear prescribed credit may be recommended by RC, if committee feels such a requirement is necessary for the successful completion of the research work as decided by the Research Committee.

**Course I (4 Credits):**

Shall be covering the **Broad area of Research of the Candidate**. Syllabus and Title for this course shall be prepared by the DC and approved by RC.

**Course II (4 Credits):**

Shall be covering the **Specific Topic of Research of the Candidate**. Syllabus and Title for this course shall be prepared by the DC and approved by RC.

**Course III (4 Credits):**

Shall focus on **Research Methodology** which covers areas such as quantitative methods, computer applications, research ethics, training, field work, etc. This course shall be designed for each Faculty/Department and shall be approved by the Faculty/RC concerned and may be conducted simultaneously in one or more Academic Unit of Research.

**Course IV (2 Credits):**

This course on **Research and Publication Ethics (RPE)** is to create awareness about publication ethics and publication misconducts. The course structure and syllabus is as prescribed by UGC, and is mandatory in Ph.D. course work.

**Course V (4 Credits):**

Shall be devoted to the preparation of a comprehensive report of review of literature relevant to the candidate's research and preparation, submission and defence of the Research Proposal.

**TABLE 02: COURSE WORK CREDIT**

Course Number	Credits	Marks		Total Marks
		Continuous Evaluation	End Semester Examination	
I	4	50	50	100
II	4	50	50	100
III	4	50	50	100
IV	2	50	50	100
V	4	-	100	100

13.4 Ph.D. students with M.Phil. Degree, awarded complying with the UGC Regulations for awarding M.Phil./Ph.D. in the same field of study, may be exempted from registering for Course I and Course III of the course work, if the Research Committee is satisfied that similar courses have been undergone by the students in the M.Phil. Programme.



- 13.5 Candidate may undergo course work in any Academic Unit of Research with the approval of the concerned DC and RC.
- 13.6 Continuous evaluation shall be done by the teachers offering the courses. An end semester examination (except Course V) shall be monitored by the Research Committee. For Course V, at the end of the semester, the student shall submit a report on the scope, relevance and purpose of the research work, its identified objectives, review of literature, research methodologies to be followed and expected outcome of the thesis work. The evaluation of Course V shall be done by the Research Committee or a subcommittee nominated by the Research Committee at the end of the semester, through an open seminar.
- 13.7 Based on the marks obtained in the examinations, the students may be awarded grades as detailed below.

Range of Marks	Grades	Weightage
90% and above	S-Outstanding	10
(80-89)	A-Excellent	9
(70-79)	B-Very Good	8
(60-69)	C-Good	7
(50-59)	D-Satisfactory	6
Below 50%	F-Failed	0

Overall Performance of the candidate will be indicated by Grade Point Average (GPA) calculated as follows:

$$\text{GPA} = \frac{G_1 \times C_1 + G_2 \times C_2 + G_3 \times C_3 + G_4 \times C_4 + G_5 \times C_5}{C_1 + C_2 + C_3 + C_4 + C_5}$$

where 'G' refers to the Grade Weightage and 'C' refers to the Credit Value of the corresponding course undergone by the student.

- 13.8 Students who are not able to acquire a minimum grade in each Course shall be given one more chance to complete the course work successfully in the next semester when the course is offered. If he/she cannot acquire the required 18 credits within a period of 24 months from the date of his/her Ph.D. Registration, his/her registration will be cancelled.
- 13.9 The Research Committee will scrutinize the grades awarded to the candidate in each course and finalize the results. On successful completion of the course work by acquiring minimum of 18 credits, the candidate shall be given a certificate of eligibility for continuing doctoral research (both the Grade Cards and Certificate of Eligibility will be issued by the Chairman of Research Committee).

#### 14. Attendance

- 14.1 A student registered as Full-Time Research Student will be required to have at least 80% attendance in every semester failing which his/her name shall be removed from the rolls of the University subject to the existing provisions.



- 14.2 Every Research Student shall submit an attendance certificate and a report of the progress of research countersigned by the Supervisor and HOD/Head of the Institution pertaining to the previous semester before the payment of the next semester fees.
- 14.3 The Research Committee shall be empowered to condone the shortage of attendance up to 10% on an application made by the student, duly recommended by the Research Supervisor and endorsed by the Doctoral Committee.
- 14.4 A Research Student will be eligible to attend conferences/seminars/symposia/specialized training programmes connected with his/her area of research or participate in research cruises or visit other places for collecting data and all such days (including University holidays) when they were away from the Department/School/Centre or Recognized Research Institution, including days of travel, shall count for attendance or for periods of being in residence at the University, if they have been duly authorized to do so by the Research Supervisor with intimation to the Head of the Academic Unit.
- 14.5 A candidate registered for Full-Time research shall be eligible to avail of leave for thirty days in one calendar year and leave without fellowship for three months on medical grounds or for any other genuine reasons duly recommended by the Research Supervisor.
- 14.6 A Part-Time Research Scholar shall have a minimum attendance of 60 days each in a calendar year or on a pro-rata basis for part of the year. The days of minimum attendance shall also include days of eligibility of attendance as per relevant clauses.
- 14.7 Notwithstanding anything contained in these regulations a candidate who comes under the National/State or such other fellowship or scheme/project etc., shall be governed by the respective rules governing the award of such fellowship/scheme/project, regarding attendance, leave etc.

## 15. Change of Research Supervisor

- 15.1 The Research Committee (RC) shall have the power to consider the request of candidate to change his/her Supervisor or to have a Co-Supervisor provided that the request is supported by his/her supervisor and the prospective Co-Supervisor and the request is recommended by the Doctoral Committee. If the Research Committee gives assent to the request, the matter shall be reported to the University.
- 15.2 However, such request for change of Supervisor or Co-Supervisor shall be made at least one year prior to the candidate's giving notice for submission of the thesis for adjudication by examiners, provided that, this limitation shall not be applicable in the case where the present supervisor is unable to continue supervision due to reasons of health, shifting of place of work/residence to a distant place etc.



## 16. Change of Academic Unit of Research

The Research Committee shall have the power to consider and to give assent to the request of the candidate for change of Academic Unit of Research, provided the request is recommended by the Research Supervisor and the Doctoral Committee and is accompanied by a 'No Objection Certificate' from the Head of the present and newly proposed recognized Academic Unit of Research. Such instances of request for change in the Academic Unit of Research shall be submitted to the University, which shall obtain the comments of the Dean of the Faculty concerned on the matter and inform the candidate of its decision.

## 17. Change of Area of Research

- 17.1 A Candidate who has registered for research shall be eligible to apply for the change of the topic or the area of research on payment of the prescribed fee and the Research Committee shall be competent to give assent to the request, which has been duly supported by the Research Supervisor, the Doctoral Committee and the University shall be informed accordingly. The Doctoral Committee shall examine if the change in topic or area is allowable with the course work already completed or if additional course work needs to be prescribed, considering that the topic or area of research has changed. Their explicit comments on the matter of adequacy of course work done shall accompany the topic or area change request/decision. If additional course work is required considering the change in topic or area the coursework done earlier may be cancelled in full or part and the necessary additional coursework completed within one year of the change being provisionally allowed. However, such an application for change of topic/the area of research shall be permitted only once during the period of registration, and further that the application for the same shall be made at least one year prior to the notice for submission of thesis.
- 17.2 A Research Student shall be eligible to request for approval of the title of his/her thesis and the Doctoral Committee shall be competent to give assent to the request. In case, there is a change in the title of research, the request shall be made at least one month prior to the submission of the synopsis.

## 18. Conversion of Registration

- 18.1 A candidate who has registered for the Ph.D. Programme shall be eligible to apply for conversion of research work from Full-Time to Part-Time and vice-versa. The request shall be duly recommended by the Research Supervisor and endorsed by the Doctoral Committee. The Research Committee shall be empowered to grant the conversion which shall be reported to the University for confirmation.
- 18.2 Conversion from Part-Time to Full-Time or vice-versa will not be allowed more than three times during the period of registration.





## 19. Progress of Research and Publications

- 19.1 A Ph.D. Scholar shall appear before the Research Committee or its Subcommittee to make a presentation and submit a brief report on the progress of his/her work for half yearly evaluation and a satisfactory report of the Research Committee in such evaluation in the previous semester is necessary for remittance of semester fees in the next semester. A copy of such recommendations shall also be provided to the Ph.D. Scholar.
- 19.2 A Research Student shall have at least **TWO** research papers published/accepted in SCI (Science Citation Index), SCOPUS indexed, SSCI (Social Science Citation Index) or AHCI (Arts & Humanities Citation Index) journals or UGC Approved Care List of journals as first author/second author/corresponding author and **TWO** paper presentations in conferences/seminars before the submission of synopsis. They should produce evidence for the same in the form of reprints/acceptance letters from the journal and presentation certificates in conference/seminars. Certificate from the supervising Teacher stating that the content of the Research Publications is part of the research work should be included. Affiliation to the University has to be ensured in each publications.

Out of the two journal papers required, one may be substituted by a patent awarded by the competent authority. The authenticity of the patent claimed by the candidate must be ensured by the supervising guide.

Conference papers published as Proceedings in a special volume of a journal is acceptable as journal publication only if the journal is a SCI (Science Citation Index), Scopus Indexed, SSCI (Social Science Citation Index) or AHCI (Arts & Humanities Citation Index) indexed or UGC Approved Care listed journal. The research papers with the same title cannot be listed under both conference and journal publications to meet the minimum requirement for the submission of the Ph.D. Thesis.

Publication of journal articles by the student in collaboration with other institutes should be done with the knowledge of the Supervisor and such publications must mention the name of the supervisor and the affiliation of the University.

- 19.3 While publishing any paper at the Recognized Research Institution under the Ph.D. Programme with CUSAT, the Research Scholar should additionally mention the affiliation with CUSAT, along with their parent institute address. The Doctoral Committee shall submit a certificate to this effect at the time of submission of thesis.

## 20. Submission of the Thesis for Award of Ph.D. Degree

- 20.1 Every candidate of the Degree of Doctor of Philosophy shall be required to submit a thesis embodying the results of his/her research finding to the University for Adjudication by examiners.
- 20.2 A candidate who is registered for the Ph.D. Degree and has completed the course requirements, shall be eligible to submit his/her thesis for adjudication, on completion of a minimum period of three years of registration for both Full- Time and Part-Time Research Scholars.



- 20.3 The thesis shall be written in English, except the case of thesis from the Faculty of Humanities where the language of the thesis shall be in the language of study and should conform to the format and standard prescribed by the University from time to time.
- 20.4 A candidate proposing to submit the thesis shall submit a synopsis of the same at least one month in advance to the University, and such intimation shall be accompanied by a certificate from the Head of Academic Unit of Research that he/she has presented the salient features of the proposed thesis in a pre-synopsis seminar in the Academic Unit of Research with notice to all RC members and the Research Scholars. If the presentation is not found satisfactory and major changes are recommended by the RC members, the candidate shall have to repeat the presentation. Recommendations for any changes if made during the pre-synopsis seminar have to be examined by the DC for incorporation at that stage and appropriate decision taken. After successful presentation, the Scholar shall submit the synopsis along with the documents given below:
- a) 5 copies of the synopsis of the thesis not exceeding ten pages, highlighting the literature review, problem selected, objectives, methods used in the research, observations, findings, a brief discussion and conclusion. It shall also have a list of references cited in the synopsis.
  - b) Copy of the Grade cards in respect of the Ph.D. course work.
  - c) Copy of at least two published research paper/letter of acceptance with a copy of the manuscript along with a certificate from the supervising teacher to the effect that the paper is published in a refereed journal as specified in para 19.2, and certificate of at least two conference paper presentations during the period of Ph.D. Registration. The above published papers and conference papers should be related to the work presented in the thesis.
  - d) Attendance certificate from the Head of Academic Unit of Research.
  - e) A certificate from the Research Supervisor to the effect that all the relevant corrections and modifications suggested by the audience during the pre-synopsis Seminar has been incorporated and it shall be recommended by the Head of the Department.
  - f) Recommendation of the Doctoral Committee to the effect that work of the candidate is adequate and complete for the submission of the Ph.D. thesis.
  - g) Evidence of having paid the required fees prescribed by the University.
- 20.5 The candidate has to submit the synopsis within three months from the date of pre-synopsis seminar. The candidate shall submit the thesis within three months from the date of submission of synopsis. The delay in submitting the thesis beyond three months, but within six months may be condoned by the Research Committee on the recommendation of the Doctoral Committee. The Vice-Chancellor may condone delay for a further period of six months in exceptional cases, provided further that the candidate shall submit the thesis only during the period of his/her registration.



- 20.6 The candidate shall submit five copies of the thesis prepared in the language proposed to be used in the thesis and conforming to the specification if any prescribed by the University along with a CD/Pen drive containing soft copy of the thesis in PDF format.
- 20.7 The Thesis submitted shall be accompanied by the following:
- a) A declaration signed by the candidate to the effect that the thesis is the outcome of the original work done by the candidate and that the work did not form part of any dissertation submitted for the award of any degree, diploma, associateship or any other title or recognition from any University/Institution.
  - b) A Certificate by the Research Supervisor(s) to the effect that to the best of his/her/their knowledge the thesis is a bonafide record of research carried out by the candidate under his/her/their supervision and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out or to any other Institution.
  - c) The University Library shall make available a facility for plagiarism checking and shall on the request of a Supervisor assist in running the plagiarism check and issue the plagiarism report. The Supervisors should ensure that the plagiarism level is less than 10% values for the overall thesis and the Supervisor should issue a certificate in this regard while submitting the thesis for evaluation.
  - d) An appendix containing list of research articles published by him/her jointly with the supervising guide and others in the same area of study as evidence of the research work done by the candidate.

## 21. Procedure for Adjudication of the Thesis

- 21.1 The panel of experts prepared by the Doctoral Committee shall be forwarded to the University duly verified by the concerned Dean of the Faculty. In the case of Recognized Research Institutions, panel of experts prepared by the Doctoral Committee shall be submitted to the University by the concerned Head of the Institution which will be forwarded to the Dean of the Faculty concerned for verification. The panel should contain names of at least ten experts not below the rank of an Associate Professor of a University or an equivalent rank in a reputed Research Institution working in the area of research of the thesis. At least seven experts of this panel should be from National Institutions/Institutions outside the State/Country.
- 21.2 The thesis to be adjudicated shall be forwarded to three external examiners nominated by the Vice-Chancellor from the panel of experts of which at least two shall be from National Institutions/Institutions outside the State/Country.



- 21.3 Each examiner shall be requested to send a report on adjudication of the thesis, wherein it shall be specifically stated, whether or not the examiner recommends the award of the degree based on the written thesis, with reasons for the recommendation. If the thesis does not meet the standard expected for a Ph.D. thesis, the examiner may recommend that the thesis be rejected or resubmitted after doing additional work.
- 21.4 In the event of the receipt of the evaluation reports from all the examiners, if any two out of the three examiners recommend the thesis for the award of Ph.D. Degree, the University shall make arrangements for the conduct of the Open Defence and Viva-Voce examination.
- 21.5 In case only one examiner has recommended and the other two have not recommended, then the thesis shall be sent to a fourth examiner whose recommendations shall be binding on the University for accepting or rejecting the thesis.
- 21.6 But if any of the examiners suggests resubmission of the thesis, the candidate may resubmit the thesis incorporating the changes proposed by the examiner(s) after payment of such fees as may be prescribed by the University.
- 21.7 On resubmission, the thesis shall again be sent for adjudication to the same examiner who had recommended revision. If the same examiner is not available, another examiner shall be selected from the same panel by the Vice-Chancellor.
- 21.8 The candidate shall have no further chance for resubmission of the thesis and the decision to accept or reject the thesis at this stage shall be final.

## 22. Open Defence and Viva-Voce

- 22.1 If the examiners recommend for the award of the Ph.D. Degree, the University shall make arrangements for the conduct of Open Defence and a Viva-Voce examination. If corrections or modifications are suggested by the examiners the candidate shall be required to submit the hard copy of the thesis along with a soft copy in PDF format after incorporating all corrections/suggestions made by the examiners along with a certificate from the supervisor to this effect before scheduling of the Open Defence.
- 22.2 The Open Defence/Viva-Voce board shall consist of the Dean of the Faculty as Chairman and any one of the examiners (preferably one among the thesis examiners) nominated by the Vice-Chancellor from the panel of adjudicators of the thesis, the Research Supervisor and Co-Supervisor, if any, as members. The Supervisor shall be the convener of the Open Defence.
- 22.3 Open Defence and Viva-Voce examination shall be held at a place and time decided by the University after making prior announcement of the same in the website and issuing the notice to all the Departments/Schools/Centres/ Recognized Research Institutions coming under the Faculty.



- 22.4 During the Open Defence of the thesis, the candidate has to explain the motivation and relevance of the work, innovation in methodology and salient features of the findings. He/She shall satisfactorily answer the questions put forward by the audience and the examiners.
- 22.5 The Chairman and the External Expert shall necessarily be present at the Open Defence/Viva-Voce examination.
- 22.6 If, in the opinion of the Board of Examiners, the candidate is successful in defending the thesis satisfactorily, a consolidated report is prepared and presented to the University recommending the award of the Degree.
- 22.7 If, in the opinion of the board, the candidate is not successful in defending the thesis, he/she shall be given an additional opportunity after one month, after payment of the prescribed fee, and the decision of the board at this examination shall be final.
- 22.8 The award of Ph.D. Degree will be with effect from the date of successful completion of Viva-Voce examination as noted by the consolidated report of the Board of Examiners. On successful completion of the Viva-Voce examination, a notification shall be issued which shall contain the Name of the Candidate, Name(s) of the Supervisor(s), Title of Thesis, Subject and Faculty under which the Degree is awarded.
- 22.9 The University shall issue a provisional certificate to the candidate to the effect that he/she has successfully fulfilled the entire requirement including course work for the award of the Degree of Doctor of Philosophy in accordance with the UGC guidelines. The regular Ph.D. Degree certificate shall be issued thereafter.
- 22.10 The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the Viva-Voce result, within a period of six (6) months from the date of submission of the thesis.

### 23. Publication of the Thesis

- 23.1 Following the successful completion of the evaluation process and before announcement of the award of the Ph.D. degree to the candidate, the Ph.D. thesis shall be uploaded to the National Repository INFLIBNET for hosting the same so as to make it accessible to all Institutions.
- 23.2 A candidate who has been awarded the Degree of Doctor of Philosophy shall be free to publish his/her thesis with a proper acknowledgement to the University. A copy of the thesis so published shall be given by the candidate to the University.

### 24. Payment of Fees

- a) Every Research Student shall be required to pay, in time, the fees prescribed by the University every semester. The registration of the Research Student will be cancelled, if he/she fails to pay the fee in the stipulated time (December 31<sup>st</sup> for odd semester and June 30<sup>th</sup> for even semester). The University shall fix the fees to be paid by the student for applying for various permissions and relaxations



provided for in these regulations, such as condonation of attendance shortage, conversion of registration from Full-Time to Part-Time, or any other matter. Any modifications in this regard will be binding on all Research Scholars on the rolls at that time.

- b) The candidate shall cease to be on the rolls of the University as a Research Student on submission of the thesis or from the date on which his/her registration is cancelled or lapsed for any reason.

