

കൊച്ചി ശാസ്ത്ര സാങ്കേതിക സർവ്വകലാശാല
COCHIN UNIVERSITY OF SCIENCE AND TECHNOLOGY



COCHIN UNIVERSITY P.O.
COCHIN - 682022
KERALA, S. INDIA

No. Conf.II/2941(1)/2020

Date: 19.11.2020

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 08.07.2020 vide Item No. II (36) resolved to authorize the Vice-Chancellor for consideration and approval of the Ph.D Regulations 2020.

The Syndicate at its meeting held on 18.09.2020, vide Item No. 679.34 resolved to approve Ph.D Regulations 2020 with modifications. The Syndicate further resolved that the Regulation will be effective from 2020-21 academic year.

REGISTRAR

To:

1. All Heads/Principals of Teaching Departments/Schools
2. All Recognized Research Centres
3. The Controller of Examinations/Joint Registrars (Exams/Academic)/
Deputy Registrar (Exam)/Assistant Registrar (Academic)
4. PS to Vice-Chancellor/PS to Pro-Vice-Chancellor/PA to Registrar
5. Academic A/B/Exam T/Exam E/UGC (SC/ST)/Exam Confidential Sections
6. Day file/Stock file/File copy.

RPR.5

COCHIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

(Abstract)

Cochin University Ph D Regulations, 2020- Resolution of the Syndicate –
Communicated - Orders Issued

ACADEMIC 'B' SECTION

Ac B2/Ph D Regulations/2020

Dated, Kochi-22, 10/11/2020

Minutes of the meeting of the Syndicate held on 18.09.2020 **[Item No.679.34]**

ORDER

The Syndicate at its meeting held on 18.09.2020 vide Item No.679.34 considered along with the recommendations of the Standing Committee of the Syndicate on Academic Matters, Cochin University Ph D Regulations with suitable modifications.

The Syndicate resolved to approve the Ph D Regulations 2020 with modifications.

The Syndicate also resolved to constitute a Committee with Dr Beena K S, the Dean, Faculty of Engineering and Dr C K Aanandan, the Dean, Faculty of Technology as members to formulate the rules and regulations for the enhancement of research activities with industry

The Syndicate further resolved that the Regulations will be effective from 2020-21 Academic Year.

Orders are issued accordingly.



REGISTRAR

Copy to

1. The Heads/Directors/Principals of all Research Departments/Centres of the University
2. The Heads/Directors/Scientists-in-Charge/Principals of all Recognized Research Centres of CUSAT
3. All Deans of the Faculties
4. The Controller of Examinations/Joint Registrar (Exams/Academic)
5. The Joint Director, Kerala State Audit Department/Director, Public Relations & Publications/Deputy Registrar (Exams-I)/Statistical Officer
6. PS to VC/PS to PVC/PA to Registrar
7. Examination T/Conference/Academic C Sections
8. The Director, CIRM - with a request to publish the same in the University website
9. The Planning & Development Officer- with a request to take necessary action in Para 3 of the U O
10. Day file/Stock file/File Copy

**COCHIN UNIVERSITY OF SCIENCE AND TECHNOLOGY
PH.D. REGULATIONS– 2020**

Preamble

1. Short title, Application and Commencement
2. Recognised Institutions
3. Research Supervisor
4. Joint Supervisor
5. Research Committee
6. Doctoral Committee
7. Notification for Ph.D. Programme
8. Eligibility for admission
9. Departmental Admission Test (DAT)
10. Exemption from DAT
11. Preparation of Rank
12. Admission and Registration
13. Course Work
14. Attendance
15. Change of Research Supervisor
16. Change of Academic Unit of Research
17. Change of Area of Research
18. Conversion of Registration: Full Time/Part time
19. Progress of Research and Publications
20. Submission of Thesis
21. Procedure for adjudication of Thesis
22. Open defence and viva voce
23. Period of Registration/Duration of the Programme
24. Publication of Thesis
25. Transitory Provisions
26. Payment of Fees

Preamble

These regulations, named as **Cochin University of Science and Technology Ph.D. Regulations 2020**, are framed in accordance with the University Grants commission (Minimum Standards and Procedure for the Award of M.Phil./Ph.D. degrees) Regulations 2016, which are in supersession of the 2009 regulations, 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) .

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- 2020.
- 1.2 These regulations shall apply to every **Academic Unit of Research** (School/Department/Centre of the University) and Recognized 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 the date decided and notified by the University and shall govern all Ph.D. Registrations from the date it comes into force.

2. Recognised 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 Any Full-Time regular faculty member of the University/Scientist of Equivalent Grade of the Recognized Research Institution with a Ph.D. degree and at least two research publications in refereed journals may be recognized as a Research Supervisor.



- Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. All Teachers/Scientists who are Research Supervisors under the immediate previous regulations shall continue to serve as Research Supervisors under these regulations also.
- 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 recognised 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 Department/School/Centre Research Committee concerned 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. Joint-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 shall supervise at any given time is 8, 6 and 4 respectively. The maximum number mandated above also includes the number of PhD Scholars supervised/co-supervised by the Supervisor in any other Universities/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 in this case.
 - 3.5 A research supervisor can take one foreign student sponsored under a scholarship scheme by the Government for undergoing Ph.D. Programme in India over and above the allotted number.
 - 3.6 A Research Supervisor should have at any point of time at least one research scholar under reserved category under his guidance. Here, preference shall be given to SC/ST candidates; if SC/ST candidate is not available, seats may be filled from other reservation category.
 - 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.
 - 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 continue to guide the scholars already registered under their supervision. They will not be allowed to register fresh candidates for supervision.

4. **Joint 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 joint-supervisor provided both the supervisors are willing. For reckoning the maximum number of students who may register under a Research Supervisor, the students under joint 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 joint 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 Joint supervisor for the students working in that project, irrespective of the geographical jurisdiction.

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/Division/School/ Centre as Chairman, and all the recognized Research Supervisors of the University serving in the Department/School/ Centre as members. The Vice Chancellor may, on the recommendation of the Dean of the Faculty concerned, nominate additional members from other relevant Department/School/ Centre / Recognized Institutions to the Research Committee. In Departments where interdisciplinary / multidisciplinary research is pursued, the Committee shall consist of the Research Supervisor(s) from other subject(s) who has (have) consented to supervise the candidate(s).
- 5.2 Every Recognized Institution shall similarly have a Research Committee with the Head of the Recognized Institution or a Research Supervisor working in the Institution nominated by the Chairman as Convener, all the recognized Research Supervisors working in the Recognized Institution, the Deans of the Faculties concerned and the Heads of the Department/ Division/School/ Centre of the University concerned or their nominees as members.
- 5.3 The Research Committee in the University Department/Division/School/ Centres /Recognized Institutions shall decide upon the number of research students who can be admitted during the next academic year with the areas of specialization.
- 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/ Division/School/ Centre /Recognized 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.

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 Department/School/ Centre /Recognized Institution. 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, joint supervisor (if any) and an approved research supervisor from the department in the same area as members. The Head of the Department/Division/Centre shall be the chairman of the doctoral committee.
- 6.3 In the case of a Recognized Institution, the Head of the Recognized Institution in consultation with the Research Supervisor shall constitute the Doctoral Committee with the Research Supervisor as Convener, the Joint Supervisor, if any, and an approved Research Supervisor from the same or allied area in the University as members. 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 which shall be discussed in the Doctoral Committees to assess the progress of the work.
- 6.7 The Doctoral Committee shall make recommendations on matters such as (a) the conversion of registration from full-time to part-time or vice versa, (b) granting leave of the candidate for short term assignments, training etc, (c) presentation of synopsis and (d) cancellation of registration in case of unsatisfactory progress, unethical practices in research committed by the student, or misconduct of the student.
- 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 Examination for further necessary action.

7. Notification for Ph.D. Programme.

- 7.1 The Notification for Ph.D. admissions shall be issued once a year through notification in at least two national newspapers, of which one shall be in the regional language. The details shall also be available in the University website.
- 7.2 All Academic Unit of Research of the University and Recognized Research Institutions that are allowed to conduct Ph.D. programmes 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 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 Institutions shall submit their applications through the Head of Institution to the Head of the concerned Academic Unit of Research

8. Eligibility for Admission

- 8.1 Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least **55%** marks in aggregate (or an equivalent grade) 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.
- 8.2 A relaxation of 5% of marks in the qualifying examination, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently abled and other special 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.

9. **Admission procedure: Departmental Admission Test (DAT)**

- 9.1. The admission shall be based on the criteria notified by the University, keeping in view of the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned and any other rules framed by the University from time to time.
- 9.2. Candidates are admitted through a Departmental Admission Test (DAT) which will be conducted only once in a year before the end of August. DAT for Ph.D. Programme (including admission to Recognized Institutions) shall be conducted by concerned Department of the University.
- 9.3. 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.
- 9.4. The syllabus of the Entrance Test shall consist of subject/subjects specific to the Academic Unit of Research concerned.

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 Candidates who have been awarded Fellowships by agencies such as UGC/CSIR/AICTE/etc or similar agencies of the Government of India or the Government of Kerala for pursuing doctoral research leading to Ph.D. degree
- 10.1.2 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.
- 10.1.3 Foreign students who have been sponsored under a scholarship scheme by the Government of India for undergoing Ph.D. Programme in India.
- 10.1.4 Students from India or abroad coming for Ph.D. based on specific agreements or MoUs of the University.
- 10.1.5 Candidates who have provisionally qualified for INSPIRE fellowship. (If they don't get the final selection, registration will be cancelled)
- 10.1.6 Regular and permanent teachers from University Departments, Government & Aided Colleges within the state with a minimum continuous service of 5 years as permanent Teachers.
- 10.1.7 Scientists working in R&D institutions/Industry with a minimum continuous service of 5 years as permanent employees.
- 10.1.8 Candidates working/residing outside India (NRI status) shall not be eligible for registration for Ph.D, except for as per clause 10.1.4.
- 10.1.9 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 Subcommittee 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. Only DAT qualified candidates are considered for University Research Fellowship which will be awarded based on a separate rank list prepared for the same.
- 10.4 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 The rank list will be prepared for with the following weightage of marks

DAT qualified candidates

- | | |
|----------------------------|-------|
| (a) Written Test | : 50% |
| (b) Master's Degree | : 25% |
| (c) NET/GATE/similar exams | : 5% |
| (d) Interview | : 20% |

DAT exempted candidates

- | | |
|---------------------|-------|
| (a) Master's Degree | : 50% |
| (b) Interview | : 50% |

- 11.2 The 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 Institutions and also put in the University Website. The rank list shall be valid till 31st December of the year.

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 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 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.
- 12.5 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 Institution concerned.
- 12.6 The time schedule for the admission and registration process will be as decided by the University from time to time and shall be published in its website.
- 12.7 Candidates who are exempted from DAT under the clauses 10.1.1 to 10.1.4 (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.
- 12.8 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 31st December.

13. Course Work.

- 13.1 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 of joining for research, by all research scholars, failing which they will be deemed to have discontinued the Ph.D. program (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.
- 13.2 The course work shall be treated as Pre-Ph.D. preparation. The structure of the course work shall be as follows:

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

The details of course shall be as follows:

- 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 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 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.

- 13.3 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.
- 13.4 Candidate may undergo course work in any academic unit of research with the approval of the concerned DC and RC
- 13.5 Continuous evaluation shall be done by the teachers offering the courses. An end-semester examination (except course V) shall be carried out by a Board of Examiners approved by 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.

- 13.6 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.

- 13.7 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 24 months from the date of his/her PhD registration, his/her registration will be cancelled.
- 13.8 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 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 maternity leave as per University rules, 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 (DRC) shall have the power to consider the request of candidate to change his/her Supervisor or to have a Joint Supervisor provided that the request is supported by his/her supervisor and the prospective Joint 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 Joint 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 from Full-Time to Part-Time

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 All research students should give an open presentation on an annual basis in the Department (with due notification) on his/ her progress of research, which will be duly certified by the Research Committee.

19.2 A research student shall have at least TWO research papers published/accepted in SCI/SSCI/SCOPUS indexed or UGC recognized journals (peer reviewed /refereed

journals with ISSN numbers for humanities) 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. Out of the two journal papers required, one may be substituted by a patent application with number allocated by the concerned authorities.

- 19.3 While publishing any paper at the recognized institution under the Ph.D. program 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 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 two years of registration for full time research scholars and three years for part time research scholars.

20.3 The thesis shall be written in English, except the case of theses 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 as 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 Doctoral Committee to the effect that the paper is published in a refereed journal as specified in para 20.2, 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 Head of Academic Unit of Research stating that the candidate has presented his/her pre-submission synopsis seminar.
 - f) 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 and recommended by the Doctoral Committee of the candidate has been incorporated.
 - g) Recommendation of the doctoral committee to the effect that work of the candidate is adequate and complete for the award of the Ph.D. degree.
 - h) Evidence of having paid the required fees prescribed by the University.
- 20.5 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 containing soft copy of the thesis in PDF format.
- 20.7 The thesis 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, associate ship, 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 assure that the plagiarism level shows less than 15 percent values for the overall thesis. Similarity with self-declared published work of the Scholar will be permitted. While submitting for the thesis for evaluation, the supervisor should issue a certificate vouching that the plagiarism level is below 15%.

- 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 Faculty. In the case of recognized institutions, panel of experts prepared by the Doctoral Committee shall be submitted to the University by the concerned Head of 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 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 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 of 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 correction/suggestions made by the examiners along with a certificate from the supervisor to this effect before scheduling of the Open Defence.
- 22.1.1 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 Joint Supervisor, if any, as members. The Supervisor shall be the convener of the Open Defence.
- 22.1.2 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 Institutions coming under the faculty.
- 22.1.3 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.
- 22.1.4 The Chairman and the external expert shall necessarily be present at the Open Defence/viva voce examination.
- 22.1.5 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.
- 22.1.6 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.
- 22.1.7 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.
- 22.1.8 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.

23 **Period of Registration /Duration of the Programme:**

23.1 A candidate who is registered as a research student shall remain on the rolls of the University for a maximum period of FIVE years provided that he/she satisfies the periodic progress and the dues are cleared as per rules. On receipt of an application for extension duly recommended by the Doctoral Committee (DC) of the research scholar concerned along with the fees for the application duly paid, the Research Committee (RC) shall have the powers to grant an extension for a maximum period of One year, which will be intimated to the University for recording the same. However, the application should be submitted before the expiry of the registration period.

23.2 If the candidate (a) completes the research work, (b) has two UGC approved journal publications/ at least one research Publication in a UGC approved Journal and one conference paper presentation (c) presents the Pre- Synopsis submission seminar within the extended period of one year granted by the Research Committee (RC), then the scholar is eligible to seek another extension for a maximum period of One more year for completing the publication requirements and submission of the Thesis. The Vice Chancellor shall have the powers to sanction this extension of one year based on the application of the candidate and recommendations of the DC and RC concerned.

23.3 No more extension will be granted after the expiry of SEVEN years.

23.4 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.

24 Publication of the Thesis

24.1 Following the successful completion of the evaluation process and announcement of the award of the Ph.D. degree to the candidate, the Ph. D. Thesis shall be uploaded to the National Repository for hosting the same so as to make it accessible to all Institutions, after a period of six months from the date of award.

24.2 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.

25 Transitory Provisions

- 25.1 The present regulations shall supersede all earlier regulations in the matter, and all registrations of candidates from the date notified by the University, for the degree of Ph.D. shall be made under these regulations.
- 25.2 A student registered under the earlier regulations shall be eligible to opt to come under these regulations, but such options shall be exercised within a period of six months from the date of notification of these regulations. All students who do not exercise their option to move to this regulation by submitting an option letter to the University through proper channel shall be deemed to have decided to continue under their present regulations.

26 Payment of Fees

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 31st for odd semester and June 30th 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.