

UNIVERSITY OF KERALA

NOTIFICATION

No. Acad. L / 4103 / R/ 88

REGULATIONS RELATING TO REGISTRATION FOR AND THE AWARD OF THE DEGREE OF DOCTOR OF PHILOSOPHY

In exercise of the powers conferred on the Academic Council by virtue of Section 38 of the Kerala University Act, 1974, the Academic Council at its meeting held on 27-5-1988 has made the Regulations relating to Registration for and the award of the Degree of Doctor of Philosophy.

The Regulations as adopted by the Academic Council are appended.

The above Regulations were laid before the Senate at its meeting held on 23rd June, 1988 as envisaged under Section 39 (1) of the Kerala University Act, 1974. These regulations shall come into force from 1st July, 1988.

University Buildings,
Thiruvananthapuram,
6th September, 1988.

(Sd/-)

S. K. Rajagopal
Registrar

**REGULATIONS RELATING TO REGISTRATION FOR AND THE AWARD
OF THE DEGREE OF DOCTOR OF PHILOSOPHY**

1. Title

These Regulations may be called "The Regulations relating to Registration for and the Award of the Degree of Doctor of Philosophy".

2. Definitions

In these regulations, unless the context otherwise requires-

- (i) 'Act', 'Statutes', 'Ordinances' and 'Regulations' means respectively the Act, Statutes, Ordinances and Regulations of the University
- (ii) 'Affiliated College' means a college affiliated to the University in accordance with the provisions of the Kerala University Act and the Statutes and in which instruction is provided in accordance with the provisions of the Statutes, Ordinances and Regulations.
- (iii) 'Centre for Research' means the Institution where the University allows a Research Scholar to carry out research on the subject approved by the University leading to a Ph. D. Degree.
- (iv) 'Department' means the University Department of Study and Research established by the Statutes.
- (v) 'Departmental Doctoral Committee' means a Departmental Doctoral Committee constituted in a Department to scrutinise the applications for registration and make appropriate recommendations to the University and includes all the Supervising Teachers in a Department with the Head of the Department as Chairman.
- * (vi) In the case of candidates from institutions other than the University Departments, the Departmental Doctoral Committee along with the concerned Supervising Teachers will form the Doctoral Committee.

In the case of subjects not offered in the University Departments, the Doctoral Committee shall consist of the Supervising Teacher (as

* Substituted vide Amendment No. 4 (Notification No. Acad. L. 2376/R/95, dt. 21-2-95)

Convener) and two experts nominated by the Syndicate of whom one shall be the Chairman of the Committee.

- (vii) 'Fellowship' means regular monetary assistance awarded to a Research Scholar and includes the National Merit Scholarship, University Scholarship and those offered by approved funding agencies such as NCERT, ICAR, ICSSR, CSIR and UGC.
- (viii) 'Laws of the University' means the Act, Statutes, Ordinances, Regulations, Rules and Bye-laws of the University as the case may be.
- (ix) 'Recognised Institution' means an Institution as defined in sub-Section (19) of Section 2 of the Act.
- (x) 'Registration' means registration as a Research Scholar for Ph. D. Degree under these Regulations.
- (xi) 'Research Scholar' means any Full-time or Part-time student duly registered for the Ph. D. Degree of the University under these Regulations.
- (xii) 'Supervising Teacher' means a teacher or any other person approved by the Syndicate of the University as a Qualified Guide to Supervise Research.
- (xiii) 'University' means the University as defined in the Act.
- (xiv) 'Adjudicator/ Examiner' means the expert appointed by the Syndicate for the evaluation of the thesis.

3. Approval as Supervising Teacher

No person shall ordinarily be approved as a Supervising Teacher unless he has a Ph. D. Degree in the concerned subject.

- *(a) For Ph. D. in Ayurveda
 - (i) a Guide for Ph. D. Students in Ayurveda Should be a teacher having MD/MS in Ayurveda with 10 years P. G. teaching experience
 - OR
 - (ii) a Guide Should be a teacher having Ph.D. in Ayurveda with two publications after the award of

* Introduced vide Amendment No. 18 (Notification No. Acad. L/2330/R/2008, dt. 16-03.2009).

Ph. D. in the Journals approved by the PG Board of Studies in Ayurveda.

†4 Eligibility for Registration

Admission for Ph.D. registration shall be made on the basis of an entrance test conducted by the University. No candidate shall be allowed to apply for the test unless he/she has secured 55% marks and above for his / her qualifying P. G. Degree Examination. SC/ST candidates shall be given a relaxation of 10% marks in Science and 15% marks in other subjects. However one seat in each subject shall be reserved for SC/ST provided they qualify in the test. A relaxation of 5% marks shall be allowed to candidates with 10 years College teaching experience.

† Minimum marks for eligibility for registration shall be 50% in the Entrance Test. In the case of SC/ST candidate the minimum marks for eligibility shall be 40%.

‡(a) Candidates who have qualified U. G. C./C. S. I. R./ G.A. T. E. test or who possess an M. Phil. Degree by Research and Thesis shall be exempted from the test.

‡(b) College/ University Teachers with seven years teaching experience be exempted from the purview of Entrance Test.

‡(c) Candidates with D.M./ M. Ch. Degrees shall be exempted from appearing for Ph. D. Entrance Test.

*(d) The Kerala State Level Eligibility Test is considered on par with NET of the UGC for registration for Ph. D. research.

‡‡(e) The NET of ICAR shall be treated as equivalent to NET of the UGC for registration for Ph. D. research.

† Substituted vide Amendment No. 5 (Notification No. Acad. L.2376/R/95 dated 21-2-1995)

† Introduced vide Amendment No. 9 (Notification No. Acad. L. 3848/R/97, dt. 23-10-1997)

‡ Introduced vide Amendment No. 10 (Notification No. Acad. L. 3848/R/97, dt. 23-10-1997)

* Introduced vide Amendment No. 12 (Notification No. Acad. L. 3868/R/97, dt. 25-09-1998)

‡‡ Introduced vide Amendment No. 13 (Notification No. Acad. L. 28111/R/01, dt. 12-10-2001)

- ¶(f) Scientists / Engineers working in approved Research Laboratories either owned or managed by the Central / State Government or an autonomous Research Institution of National Status, with seven years experience in the grade Scientist / Engineer and having two research papers published in the recognized research journals of the concerned subject approved by the Board of Studies concerned, are exempted from the entrance test required for Ph. D. registration of the University.
- *(g) Candidates who qualify ICMR-JRF Test shall be exempted from Ph. D. Entrance Test.
- *(h) Candidates who are Selected for fellowship by the Kerala State Council for Science, Technology and Environment shall be exempted from the Ph. D. Entrance Text.
- ** 1. Scientists/Ayurveda Doctor working in Pharmaceuticals/ Hospitals/Research Centres owned by the Government with seven years experience and having two research papers published are exempted from the Entrance Text required for Ph. D. registration for research in the University.
- †(i) Candidates with D B T-JRF be exempted from appearing for the Ph.D. Entrance Examination and they be permitted to register for research leading to Ph. D. Degree in Bio-technology.

5. Application for Registration

Application for Registration shall be made in the prescribed form and in the manner prescribed, so as to reach the Office on or before the date notified by the University.

6. Centre for Research

Research shall be carried out by a Research Scholar in a University Department or a Department of a College recognized as a Centre for

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- ¶ Introduced vide Amendment No. 14 (Notification No. Acad. L. 41179/R/02, dt. 18-10-2002)
- * Introduced vide Amendment No. 15 (Notification No. Acad.L/9631/R/2005 dt. 25-04-2005.
- ** Introduced vide Amendment No. 19 (Notification No. Acad.L/2330/R/2008 dt. 16-03-2009.
- † Introduced vide Amendment No. 20 (Notification No. Acad.L/R/2326/2008 dt. 25-03-2009.

Research, or in a recognized institution, under an approved Research Guide or Guides.

7. Selection

a. Registration in the University Department

Application for admission as Research Scholars in a University Department of Study and Research received on or before the prescribed date shall be scrutinised by the concerned Departmental Doctoral Committee. The Committee shall interview all the eligible candidates within one month of the last date of receipt of the application and shall prepare a list of selected candidates based on aptitude for research and merit. The Head of the Department will forward the applications of the selected candidates together with the recommendations of the Departmental Doctoral Committee and other relevant documents to the University within two weeks after selection. Selected candidates shall join the Department within one month of the receipt of the intimation regarding registration of the candidates from the University. However, the Departmental Doctoral Committee shall be competent to grant an extension of one month in exceptional cases.

‡b. Registration in the Department of an affiliated College/Recognized Research Institution.

In the case of candidates from Institutions other than University Departments, the Departmental Doctoral Committee along with the concerned Supervising teachers will form the Doctoral Committee. In the case of subjects not offered in the University Departments, the Doctoral Committee shall consist of the Supervising Teacher (as Convener) and two experts nominated by the Syndicate, of whom one shall be the Chairman of the Committee.

† “Provided that whenever human subjects are involved in research, the concerned Doctoral Committee shall indicate whether the clearance of the Institutional / University Ethical Committee has been obtained. The registration for research will be granted only subject to the production of clearance from the Institutional / University Level Ethical Committee.”

‡ Substituted vide Amendment No. 6 (Notification No. Acad. L./2376/R/95, dt. 21-02-1995).

† Introduced vide Amendment No. 16 (Notification No. Acad. L./R/11209/06, dt. 03-01-2007).

† 8. Part-time Research

- a. Part-time Ph. D. registration shall be restricted to teachers of the University in the concerned subjects and to those persons engaged in Research Institutions provided they should qualify the entrance test.
- b. In exceptional cases based on the recommendation of the Doctoral Committee, the Syndicate may allow persons other than teachers in affiliated Colleges to register as Part-time Research Scholars provided they should qualify the entrance test.
- ‡‡ c. Part-time Research Scholars other than those working and / or residing in the Headquarters of the Supervising teacher should spend a period of at least six months at a stretch or in not more than three installments at the Centre for Research before they are allowed to submit the Thesis. A certificate showing that the candidate has worked in his Institution should be furnished by the Head of the Centre for Research at the time of submission of the Thesis.
- d. On the recommendation of the supervising Teacher, the Doctoral Committee shall consider the request by a candidate for conversion of registration from Full-time to Part-time or vice-versa and make appropriate recommendations to the University.
- e. Candidates applying for registration to do Part-time research shall produce along with the application a No - Objection Certificate from the employer concerned.

9. Inter-Disciplinary Research

Candidates intending to do research on topics of an inter-disciplinary nature may have a joint Supervising Teacher if the Doctoral Committee so recommends.

10. Supervision of Research Work

- a. Research shall be undertaken by a scholar under the guidance of an approved Supervising Teacher.

† Substituted vide Amendment No. 7 (Notification Acad. L. 2376/R/95, dt. 21-02-1995).

‡‡ Introduced vide Amendment No. 11 (Notification No. Acad. L./3850/R/97, dt. 27-10-1997).

- b. A Research Scholar working under a particular Supervising Teacher who has retired from service may continue to work in the same Institution under the guidance of the same Supervising Teacher, subject to the discipline of the Institution.
- c. The number of Research Scholars under a Supervising Teacher should not exceed ten, whether Full-time or Part-time.
- d. The Supervising Teacher shall not be an immediate relative of the candidate.

Explanation :

'Immediate Relative' means husband/wife, parent, son, daughter, brother and sister.

11. Periodical Review of the work

The Doctoral Committee shall review the work of the Research Scholars in the Department once in six months and record its decision and report the matter to the University.

- ¶(a) (1) The course work of six months duration is introduced for all Ph. D. Programmes. There will be three papers for the course work with one paper on Research Methodology, and the other two papers related to the area of research. Candidates having M. Phil. Degree are exempted from writing the examination on Research Methodology .
The Syllabi for the papers will be framed by the Supervising teacher and approved by the Doctoral Committee. Examinations will be conducted at the end of six months from the date of registration.
Only after passing the examination of the course work, the Ph. D. thesis can be submitted. A maximum of three attempts will be allowed for passing the examination of the course work. Those who do not pass the examination of the course work within two years from the date of registration will not be allowed to continue the programme. This is applicable to full-time and part-time researchers.
- (2) A pre-submission seminar conducted in the Department/ Research Centre is one of the requirements for submission of thesis.

¶ Introduced vide Amendment No. 23 (Notification No. Acad. L./2430/R/2010 dt. 27-10-2010)

The pre-submission seminar will be organized in the concerned Department/Research Centre and will be conducted by a board consisting of the Doctoral Committee and an external expert from outside the Department/Research Centre. The recommendations of the Board has to be included in the thesis.

- (3) One publication in an approved Journal and one presentation in a National/ International Seminar is also a pre-requisite for submission of thesis.
- (4) The above Regulations will be applicable to those who register for Ph. D. research from July 2009 onwards.

‡12.

13. Period of Research

The minimum period of research required by a candidate for submission of the Thesis from the date of registration shall be two years for M. Phil/M.Ed. / M. Sc. (Research) Degree holders and three years for others.

The maximum period of research shall be five years for Full-time and eight years for Part-time after which period the registration shall automatically lapse. The above rule shall be applicable only in respect of candidates who register themselves for Ph. D. after coming into force of these regulations.

‡‡ "Provided that the Syndicate, based on the recommendation of the Vice-Chancellor, may grant extension of the maximum period of research by a period not exceeding two years on reasonable grounds."

Note:- The above proviso shall come in to force with immediate effect.

14. Restriction of Employment

A Full-time Research Scholar is not allowed to engage himself/herself in any employment either full-time or part-time.

15. Change of the Topic of Research

Based on the recommendations of the Doctoral Committee, the Syndicate may permit a Research Scholar to change the topic of research within one year from the date of registration.

‡ Deleted vide Amendment No. 2 (Notification No. Acad. L. 4574/R/89 dt. 15-3-1990)

‡‡ Inserted vide Amendment No. 17 (Notification No. Acad.L./R/11213/06 dt. 3-1-2007)

16. Change of the Title of Thesis

Modifications of the Title of Thesis may be effected on the recommendations of the Supervising Teacher and the Head of the Department, with the approval of the Vice-Chancellor, any time before the submission of the Thesis.

17. Change of the Supervising Teacher

The Syndicate shall be competent to allow the change of a Supervising Teacher in extraordinary cases at the request of the candidate and on the recommendations of the Doctoral Committee.

18. Submission of the Abstract

Three months before the date submission of the proposed Thesis, the candidate shall submit through the Supervising Teacher 12 copies of the abstract of the proposed Thesis in about 1500 words. The abstract should be accompanied by the application for admission to the Ph. D. Degree and the fee prescribed for the purpose and shall be sent to the University.

19. Panel of Adjudicators

A panel of Adjudicators shall be prepared by the supervising Teacher based on the general stipulations made in that respect by the Syndicate. This panel shall be forwarded to the University through the Head of the Department or Chairman, Board of Studies (P. G.) where there is no University Department and shall be sent along with the abstract.

20. Submission of the Thesis

After completing the prescribed minimum period of research, a candidate shall be eligible to submit his/her Thesis. The candidate shall submit to the University, four copies of the Thesis embodying the results of the research carried out by him/her. The Thesis shall be submitted within three months from the date of submission of the abstract. In exceptional cases, this period may be extended by another three months by the Vice-Chancellor based on the recommendations of the Supervising Teacher duly endorsed by the Head of the Department.

The Thesis shall be accompanied by a declaration by the candidate that it has not previously formed the basis of award of any degree or diploma or other Title. The Thesis shall also be accompanied by a certificate from the Supervising Teacher to the effect that it is a record of bonafide work carried out by the candidate under his/her supervision.

*A Pre-submission seminar should be conducted by each candidate which will be attended by the Doctoral Committee and other invited members of the department and experts before submission of Thesis. The candidate shall submit the Ph. D. Thesis within three months after incorporating the changes if any suggested at the seminar and approved by the Doctoral Committee.

- † (a) After the Successful Completion of evaluation process and announcements of the award of Ph. D. , the University may forward a Soft Copy of the Ph. D. Thesis to the U. G. C. within a period of thirty days, for hosting the same in INFLIBNET.

21. Adjudication of the Thesis

- a. The Thesis shall be adjudicated by a board of three experts appointed by the Syndicate from the panel of Adjudicators. One Indian Adjudicator shall be the Chairman of the Board.
- b. Each Adjudicator shall submit a report on the merit of the work embodied in the Thesis and state whether the Thesis is recommended for the award of the Ph. D. Degree. The Adjudicators should also indicate in which respect the Thesis affords evidence of originality. Every Adjudicator should be required to fill in a proforma summarising his specific recommendations regarding the award of the Degree. If one of the Adjudicators does not recommend the award, the Thesis shall be referred to a fourth Adjudicator and his report shall be accepted. If two Adjudicators do not recommend the award, the candidate should be asked to resubmit the Thesis after a period of six months.
- c. The Board of Adjudicators once appointed will normally evaluate the Thesis unless any of the Adjudicators is not willing to continue on the Board. Substitutes shall be appointed by the Vice-Chancellor, from the panel of Adjudicators already approved by the Syndicate.
- d. The evaluation of the Thesis and the declaration of result shall be done in strict adherence to a procedure laid down in that respect by the Syndicate.

* Introduced vide Amendment No. 8 (Notification No. Acad. L./2376/R/95, dt. 21-02-1995)

† Introduced vide Amendment No. 21 (Notification No. Acad. L./2428/R/2010 dt. 22-10-2010)

- e. The candidate whose Thesis has been recommended for the award of Ph. D. Degree by all the Adjudicators shall appear for a Viva-Voce Examination for defending his/her Thesis. This Viva-Voce Examination shall normally be conducted by the Chairman of the Board of Adjudicators in the Centre for Research where the candidate worked.
- f. The report of the Adjudicators shall be considered by the Syndicate. If the candidate is adjudged worthy to be awarded the Degree, a resolution to that effect shall be passed by the Syndicate and the candidate shall be admitted to the Ph.D. Degree under prescribed conditions.
- g. The candidate whose Thesis is not recommended for the award of the Ph. D. Degree, shall be informed accordingly and he and his Supervising Teacher shall be supplied with the comments made by the Adjudicators. The candidate shall be permitted to resubmit a revised version of the Thesis after a period of six months from the date on which he/she has been informed of the results of evaluation of the Thesis.
- h. The candidate and the Supervising Teacher shall be supplied with a copy of the comments made by the Adjudicators on the Thesis.
- i. A candidate shall not be allowed to submit his/her Thesis on more than two occasions. However, in exceptional cases, it shall be competent for the Syndicate to permit the candidate to submit his/her Thesis for a third time.
- †j. "In the provisional Certificates of Ph. D. Degree, it may be certified that the provisions of UGC Regulations 2009 are incorporated".

† Introduced vide Amendment No. 22 (Notification No. Acad. L./2428/R/2010, dt. 22-10-2010)



UNIVERSITY OF KERALA

REGULATIONS RELATING TO REGISTRATION FOR AND THE AWARD OF THE DEGREE OF DOCTOR OF PHILOSOPHY

**Embodying Amendments upto 31-10-2011
(Amendments to these Regulations issued
from 15-03-1990 to 31-10-2011)**

**Compiled and updated by
Academic Legislation Section**

