
KANNUR UNIVERSITY

**Minimum Standards and
Procedure for the Award of
Ph.D. Degree Regulations, 2016**



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1. Preamble:

- 1.1 Regulations for Award of Ph.D. Degree, Kannur University, 2018 are framed in supersession of the “Regulations for Ph.D Registration and Award of Degree of Doctor of Philosophy-2011” of Kannur University; and in accordance with the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulations 2016 notified in the Gazette of India [No. 278, Part III Section 4] Extra Ordinary on July 5th 2016.
- 1.2 The Kannur University offers research programmes in different subjects listed in Statutes of the University, and in inter-disciplinary areas leading to the Degree of Doctor of Philosophy. A candidate shall ordinarily work in a recognized place of research including the University Departments, Research Institutes and Affiliated Colleges recognized by the University. The Standards and Procedures for Award of Ph.D. Degree of the University shall be as per this Regulation.

2. Short title, Application and Commencement:

- 2.1 These Regulations shall be called “**Kannur University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2018**”.
- 2.2 These Regulations shall apply to the University Research Departments as well as approved Research Centres in affiliated colleges and other Research Centres recognized by the University for the purpose of research.
- 2.3 These Regulations shall come into force from the date of its approval by the *University*.
- 2.4 All cases registered and pending for processing before the date of effectiveness of this rules and regulations shall be governed by respective rules and regulations.



3. Eligibility Criteria for Admission to Ph.D. Programme

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme.

- 3.1. Candidates who have secured 55% marks (or equivalent Grade) and above in their P.G. degree examination of any Indian, Foreign Universities recognized by UGC and AIU respectively.
- 3.2. Candidates who have appeared for their final semester P.G. degree examinations and are awaiting result are also eligible to apply. They, however, need to produce the eligibility certificates before the commencement of coursework.
- 3.3. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed to candidates belonging to SC/ST/OBC (non-creamy layer)/ Differently-abled and other categories of candidates as per the decisions of the University/State Government from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991.
 - 3.3.1. Eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation to the categories mentioned in clause 3.3 in these Regulations are permissible based only on the qualifying marks.
- 3.4. Candidates who have passed the M.Phil. Degree programme with a minimum of grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) with at least 55% marks in aggregate or its equivalent shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same institution. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, shall be allowed to those belonging to SC/ST/OBC (non-creamy layer) / Differently-abled and other categories of candidates, as decided by the State government / University from time to time.



3.5. A candidate whose M.Phil. Dissertation has been evaluated and the *viva-voce* is pending in this University may be admitted to the Ph.D programme subject to qualifying in the Entrance Test.

4. Duration of the Programme

4.1 Ph.D. programme shall be for a minimum duration of three years, including course work, and a maximum of six years.

4.2 Extension beyond the above limits, a maximum of two years, in exceptional circumstances, may be permitted by the Vice Chancellor for the completion of the research work and submission of thesis.

4.3 Women candidates and candidates with disability of more than 40% may be allowed a relaxation of two years for Ph.D. in the maximum duration.

5. Procedure for Admission

5.1. Candidates seeking admission for Ph.D. programme shall be granted registration based on the Entrance Test and Interview/*Viva-voce* conducted by the University. The University will notify the number of vacancies in each subject for General, OBC and SC/ST candidates at the end of each calendar year.

5.2. The registration to the Ph.D. programme is also governed by the available vacancies in each subject of study, availability of research supervisors and other academic as well as physical facilities specific to the area of the research proposed by the candidate.

5.3. Entrance Examination

5.3.1. The Entrance test shall consist of questions based on Research Methodology (50%) and the subject of study concerned (50%).

5.3.2. The duration of the examination shall be two hours.

5.3.3. The maximum marks for the examination shall be 100 and consists of descriptive and multiple choice questions type of questions.



- 5.3.4. Question paper shall consist of two parts.
- a. Part. A- 50 Marks
Consisting of multiple-choice questions related to research aptitude, mathematical/numerical ability/logical reasoning, English language competence and computer awareness.
 - b. Part. B -50 Marks
Consisting of objective type questions (20 Marks) & descriptive type questions (30 Marks) from the subject concerned. The syllabus will be notified on the University website at the time of PhD notification.
- 5.3.5. Candidates require a minimum of 50% marks, 40% marks in the case of SC/ST categories and 45% marks in case of OBC (non-creamy layer) and differently-abled, as the case may be, in the entrance examinations to be ranked in the merit list.
- 5.3.6. The following categories are exempted from the Entrance Test.
- a. Those who have cleared JRF/Lectureship in the NET/GATE examinations conducted by such bodies as UGC, CSIR, ICAR, ICMR, and other similar institutions of the Central Government.
 - b. Candidates who have secured the Research Fellowship (of three years or more) of State/Central Government funding agencies.
- 5.4. Interview/Viva-Voce
- 5.4.1. All candidates including those who are exempted from entrance test need to attend the Interview/*Viva-voce* conducted by a duly constituted **Department Research Committee (DRC)**.
- 5.4.2. In the interview/ viva-voce, the candidates would be required to discuss their research interest/area through a synopsis presentation. The final selection of the candidates will be done by the Department Research Committee.
- 5.4.3. The Department Research Committee shall assess whether:
- a. The candidate possesses the competence for the proposed research;



b. The proposed research can contribute to new/additional knowledge.

5.5. The DRC will only admit eligible candidates if research vacancies are available.

6. Allocation of Research Supervisor

6.1. Any regular Professor of the University Department / Approved Research Centre with at least five research publications in refereed journals, approved by the UGC/University and any regular Associate/ Assistant Professor of the University Department / Approved Research Centre with a Ph.D. degree and at least two post Ph.D. research publications in refereed journals, approved by the UGC/University, may be recognized as Research Supervisor. The scientists on regular employment referred to in clause 6.5 of these Regulations may also be recognized as research supervisors.

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

6.2. Only a full time regular teacher of the University / constituent College / Research Institute can act as a supervisor. External supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from the same or other departments of the same institute or from other related institutions with the approval of the Department Research Committee.

6.3. A full time regular teacher, satisfying all conditions stipulated in clause 6.1 and working in a department of a college/centre affiliated to the University which is not a recognized research centre in his/her discipline, and working as a Research Supervisor at a nearby research centre of the University in the same discipline, shall be permitted to continue with existing students.



- 6.4. Supervisors who move to other universities/ colleges/ institutions or transferred to colleges not affiliated to Kannur University / institutions outside the jurisdiction of Kannur University are permitted to supervise the existing candidates. They are not permitted to admit new candidates from Kannur University unless they take appointment/ get transferred to a recognized research centre in his/her discipline affiliated to Kannur University.
- 6.5. Scientists in the regular service in research laboratories of Central/ State Government, located in the geographical jurisdiction of Kannur University and approved as Research Centre by Kannur University, may also be approved as Research Supervisor/ Co-supervisor and the Scientist in Grade-D, Scientist Grade-E and Scientist Grade-F & G are equated with Assistant Professor, Associate Professor and Professor respectively, exclusively for the purpose of research supervision, subject to fulfillment of other requirements stipulated in these Regulations.
- 6.6. A Research Supervisor/Co-Supervisor, who is a Professor at any given point of time, shall guide not more than eight Ph.D. scholars. An Associate Professor as Research Supervisor shall guide up to a maximum of six Ph.D. scholars and an Assistant Professor as Research Supervisor shall guide up to a maximum of four Ph.D. scholars.
- 6.6.1. If a research student under a Research Supervisor submits his/her Ph.D. thesis for adjudication, the date of submission of Ph.D. thesis will be considered as date of occurrence of vacancy under that Research Supervisor in order to avoid the delay in granting registration for new research scholar.
- 6.7. The Department, in case of topics which are of inter-disciplinary nature and where the expertise in the Department has to be supplemented from outside, may nominate a Supervisor from the Department itself as the Research Supervisor, and a Co-supervisor from outside the Department/ College/or other Institution on such terms and conditions as may be



specified and agreed upon by the consenting Institutions/Colleges and duly approved by the University.

- 6.8. Allocation of research supervisor for a selected research scholar shall be decided by the Department Research Committee concerned depending on the number of scholars per research supervisor, available specialization among the research supervisors and research interests of the scholars as indicated by them at the time of interview.
- 6.9. The recognition given to a researcher as Supervisor shall be valid till his/her retirement. A Supervisor should have a minimum of three years of service before retirement while a candidate is registering under him/her. If, for any reason, the Supervisor takes voluntary retirement from service or leaves the service or moves away from the jurisdiction of the University, his/her guide ship shall stand cancelled.
- 6.10. The research data, in case of relocation of the woman scholar for Ph.D. due to marriage or otherwise, shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar shall give due credit to the original Research Supervisor and the institution for the part of research already done.

7. Procedure for Granting Registration

- 7.1. Based on the recommendations of the Department Research Committee, the Director of Research shall issue orders granting registration for the Ph.D. programme. For those candidates who have to undergo coursework, the date of registration to Ph.D programme will be the date on which the candidate joins the Department/ Research Centre for the Course Work.
- 7.2. All candidates who are exempted from coursework are required to join the research centre within the date specified by the university.



7.3. At the time of joining, the candidate has to pay prescribed fees and caution deposit fixed by the University.

8. Course work

8.1. The course work for Ph.D. shall be of a minimum of 8 credits and a maximum of 16 credits.

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

8.3. All courses prescribed for Ph.D. course work shall be duly approved by the Department Research Committee concerned.

8.4. All candidates admitted to the Ph.D. programmes shall be required to complete the course work of six months /one semester duration. A minimum of 55% marks in each paper is necessary for the successful completion of the coursework. If the candidate fails to clear the coursework, she/he will have to take the examination in the following year. If the candidate fail to clear the course work in the second attempt also, his /her registration will automatically stand cancelled.

8.5. The M. Phil degree holders may be exempted from the coursework on the recommendations of the Department Research Committee, duly taking into consideration the papers and dissertation work of their M.Phil. programme

8.6. Conduct of the course work examination and valuation of the answer scripts shall be done by the coursework Co-ordinator/Head of the Department.



- 8.7. Result of the course work shall be finalized by the Coursework Co-ordinator and communicated to the University/Research Director within one week of completion of examination.
- 8.8. Coursework Co-ordinator / Head of the Department will electronically transmit list of candidates who have successfully completed course work to the Director of Research.
- 8.9. Upon completion of course work, the scholar shall be required to undertake research work.
- 8.10. The qualified candidates shall be issued a certificate by the Controller of Examinations/Director of Research, informing them the eligibility to continue his/her research work within one week of the last Course Work examination.
- 8.11. The Course work programme shall be held only once in a year and once the candidate registers for the Course Work, he/she has to qualify the Course work examination within one year of the date of registration of Course work. The registration of the candidates who fail to qualify the coursework examination even after the supplementary chance will stand cancelled automatically. There will be no revaluation for the coursework examination.

9. Research Advisory Committee and its Functions

- 9.1. There shall be a Research Advisory Committee or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the University for each Ph.D scholar.
- 9.2. The committee shall consist of:
 - 9.2.1. Research Supervisor, Head of the research centre/Department and an External Examiner/a Professor, who has expertise in the field recommended by the Department Research Committee.
 - 9.2.2. The Research Supervisor of the scholar shall be the Convener of this Committee.



- 9.3. The Committee shall have the following responsibilities:
 - 9.3.1. To review the research proposal and finalize the topic of research.
 - 9.3.2. To modify and finalize the title of the research based on the resubmitted synopsis after completion of coursework, if necessary.
 - 9.3.3. To guide the research scholar to develop the study design and methodology of research.
 - 9.3.4. To review once in three months and assist in the progress of the research work of the research scholar.
- 9.4. A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The three monthly progress reports shall be submitted by the Research Advisory Committee (via e-mail) to the University through the Research Centre and with a copy to the research scholar.
- 9.5. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons cancellation of the candidate's registration.

10. Submission and Evaluation of the Thesis

- 10.1. Prior to the submission of the final dissertation/thesis for adjudication, the scholar shall make a presentation of the draft dissertation/thesis in the Research Centre/Department before the Department Research Committee which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee. A certificate from the Head of the research centre in this regard shall be submitted along with the thesis.



- 10.2. Scholars must publish at least one (1) research paper in a refereed journal approved by the UGC and make two paper presentations in conferences/seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints certified by the research supervisor.
- 10.3. The candidate shall submit six hard copies of the abstract of the thesis (not more than 2000 words), duly signed by the candidate and forwarded by the supervisor through proper channel, along with an electronic copy in portable document format (pdf) written in a CD with due label, to the Director of Research.
- 10.4. Electronic copy of the abstract of the thesis may be used for obtaining prior consent from the adjudicators for evaluation of the thesis.
- 10.5. The candidate shall submit four hard copies of the Thesis duly certified by the Supervisor and the Head of the Research Centre, along with an electronic copy in portable document format (pdf) written in a CD with due label, to the Director of Research of the University for Adjudication.
- 10.6. The thesis shall be in crown size with double sided printing. Running matter shall be in Times New Roman font with 12 point and 1.5 line spacing. The total number of words used in the thesis shall not exceed 80000 (Eighty Thousand) excluding certificates and cover pages.
- 10.7. Panel of adjudicators
 - 10.7.1. The Supervisor shall submit a confidential panel of 12 (Twelve) Adjudicators with email address, Phone/ Mobile number etc. for the evaluation of the thesis along with the abstract of the thesis within one week of the pre-submission seminar.
 - 10.7.2. The panel of adjudicators shall be counter signed by the Head of the Research centre and send to the Vice Chancellor for approval.
 - 10.7.3. Maximum number of adjudicators included in the panel from a State shall be 2 (Two)



- 10.7.4. The adjudicators shall be Professors/ Associate Professors or Scientists preferably at the level of University Professors.
- 10.8. The Research Advisory Council of the University shall detect plagiarism and other forms of academic dishonesty in the thesis, before submitting it for evaluation. The dissertation/thesis shall have an undertaking from the Research scholar and certificates from the Research Supervisor and Head of the Research Centre attesting to the originality of the work, vouching that there is no plagiarism 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. 'Turnitin' shall be the approved software for plagiarism checking in Kannur University.
- 10.9. The Ph.D. thesis submitted by a research scholar shall be evaluated by three external examiners, who are not in employment of the University and one examiner may be from outside the country.
- 10.10. The *viva-voce* examination based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the three external examiners, and shall be open to be attended by members of the Research Advisory Committee, all faculty members of the Department, Research scholars and other interested experts/researchers.
- 10.10.1. The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation reports of the external examiners on the dissertation/thesis are satisfactory and include a specific recommendation for conducting the *viva-voce* examination.
- 10.10.2. If the evaluation reports of one/two among the three external examiners are unsatisfactory and do not recommend *viva-voce*, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory.



10.10.3. If the report of the latest examiner is also unsatisfactory and does not recommend modification of the dissertation/ thesis within a specific period, the dissertation/ thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

10.11. The University shall normally complete the entire process of evaluation of dissertation/thesis within a period of six months from the date of submission of the dissertation/thesis.

11. Public *Viva-voce* Examination:

A dissertation/thesis shall be accepted for the award of Ph.D. Degree when all the three Examiners have found the thesis satisfactory for award and then a public *viva-voce* examination is conducted. The conduct of public *viva-voce* shall be mandatory.

11.1. Constitution of Public *Viva-voce* Board:

The Vice-chancellor shall constitute a *viva-voce* Board of Examiners for the conduct of the *viva-voce* examination and the Supervisor shall be the Convener of this board. The other member shall be one from among the adjudicators. The Supervisor and External adjudicator shall fix a date for the *viva-voce* examination giving at least 10 days for the University to provide permission for the conduct of the *viva-voce*. If there is co-guide he / she shall also be the member of *viva-voce* board.

11.2. *Viva-voce* Notification:

11.2.1. The *viva-voce* shall be conducted only in the University Departments for the candidates who have been registered with the supervisors in the University departments. In the case of other candidates, the *viva-voce* shall be conducted in a Department designated by the Vice Chancellor.

11.2.2. The Supervisor shall be authorized to organize the public *viva-voce* examination for which the Faculty members, Research Scholars, the Public and the other experts from this University and other Universities may be invited.

11.2.3. A notice shall also be displayed in the Department notice board 10



days in advance of the date of *viva-voce* examination and the evidence for such notice should be submitted along with the *Viva-voce* examination report.

11.2.4. A copy of the thesis shall be made available to the public at the Department for perusal at least 15 days prior to the date of the *Viva-voce* examination.

11.3. Guidelines for conducting public *Viva-voce* for Ph.D. candidates:

11.3.1. The *viva-voce* examination shall be conducted only on a working day. The evaluation reports of Examiners shall be kept with the Supervisor. A list of attendees with their names, designation, address and signatures shall be obtained and sent along with the recommendation. The Convener of the *Viva-voce* Board / Head of recognized Research Centre shall be responsible for the conduct of the *viva-voce* and shall certify to this effect.

11.3.2. The candidate shall present his/her thesis within a period of 45 minutes.

11.3.3. After the presentation, the external Examiner shall be given time to raise his/her/ questions or the clarifications needed. Then the Convener shall read the questions raised by the other Examiners and seek responses from the candidate. The audience shall also be permitted to ask questions. When all the questions are answered, the Board shall conclude the examination as closed and prepare a report showing the performance of the candidate. The report shall be given/sent along with the recommendations to whether the candidate has performed satisfactory or not satisfactory to the Controller of Examinations the same day duly signed by the members of the Board.

11.4. The candidate, whose thesis has recommended for the award of Ph.D. degree by the adjudicators but fails to satisfy the *viva-voce* board, on the recommendation of the board, shall be given a second chance within three months of time. The candidate who fails to satisfy the *viva-voce* board for the second time will have his/her thesis finally rejected.



- 11.5. The recommendations of the *viva-voce* board for the award of Ph.D. degree along with all the evaluation reports and the consolidated report shall be sent to the Vice Chancellor for publication results within one week by the Controller of Examinations. After the approval of the recommendations of the *viva-voce* board by the Syndicate, the result shall be declared and the degree shall be conferred.
- 11.6. The date of *viva-voce* as approved by the Syndicate shall be reckoned as the date of award of Ph.D degree.
- 11.7. In the case of inter-disciplinary research, the Ph.D. degree shall be awarded in the faculty/ subject to which his / her Master's degree belongs mentioning e.g., Main subject (Inter disciplinary Subject - Inter disciplinary).

12. Leave rules for Research Scholars

- 12.1. Candidates are eligible for Maternity/ Paternity leave as per Govt. of India norms issued from time to time at full rates of fellowship. Women candidates shall be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for a period up to 240 days.
- 12.2. Besides this, an 'Intermittent Break' for a maximum period of 1 year may also be permissible to the women candidates. The leave can also be availed in 3 (Three) installments during the entire period of fellowship. However, the total duration of leave shall not exceed one year. This flexi time period shall not be counted towards the tenure of the fellowship and thus effectively the total period of fellowship will remain the same.
- 12.3. The fellow shall not undertake any paid assignment during the tenure of any fellowship (Except in case of leave without fellowship up to one academic year during the entire tenure).
- 12.4. Attendance Register will be maintained in case of students drawing fellowships from institutions that have mandated periodical submission of attendance details.



13. Academic, Administrative and Infrastructure Requirement for Offering Ph.D. Programme:

13.1. All Teaching/Research Departments/Centres/ Inter University Centres/ Central Library of the University are considered to be research centres of this University by default.

13.2. Post-graduate Departments of affiliated Colleges and Research Institutes/ laboratories of Central/State Government coming under Kannur University jurisdiction with at least two qualified teachers/scientists in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under clause 13.3 shall be considered eligible to offer Ph.D. programmes, provided the other conditions specified by the University are fulfilled.

13.2.1. In case of University Departments, the Head of the Department shall be the Head of the Research Centre subject to meeting minimum qualification of a research supervisor. In case of affiliated Colleges/ Research Institutes/Intra or Inter University Centres, the Head of the Institution (Principal/Director) shall be the Head of the Research Centre.

13.3. Post-graduate Departments of Colleges and Research Institutes / laboratories of Central / State Government with adequate facilities for research shall be allowed to offer Ph.D. programmes:

13.3.1. Research centres, granted approval by the University prior to the date of effect of this regulation, shall be permitted to remain as the research centre and to retain the research scholars who have applied for their registration prior to date of commencement of these Regulations in force and continue their research.



13.3.2. The Research Centre will be reviewed by the University at least once in two years with a team of Subject Experts from the University.

14. Treatment of Ph.D. through Distance Mode :

14.1. Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct Ph.D. Programmes through distance education mode.

15. Depository with INFLIBNET

15.1. The University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, for hosting the same accessible to all.

15.2. The University shall issue a Provisional Certificate to each scholar, prior to the actual award of the Degree, to the effect that the Degree has been awarded in accordance with the provisions of the *UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulations 2016*.

16. Grievance Redressal Committee

There shall be a 'Grievance Redressal Committee' for research related matters. If any supervisor /Head of the Research Centre is found to be guilty of asking his/her student for financial favors /contributions to expenses of adjudication etc. he /she shall be liable to dismissed from service.