

# Cochin University of Science and Technology

## Ph.D. Regulations – 2020

### Regulations

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) .

### Background

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.
- 1.4 These regulations shall govern all new Ph.D. registrations from the date it comes into force. No new registration shall be given under the previous Ph.D. regulations thereafter. However, the Ph.D. scholars registered under the old regulations may continue under the same, provided they exercise the option.

#### 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 (Total of all where he/she is supervising PhD scholars). The maximum number mandated above also includes the number of scholars co-supervised and the number of PhD Scholars supervised by the Supervisor in any other Universities/Institutes. Those who are presently guiding a number more than what is mentioned 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.
- 3.1 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.
- 3.2 A Research Supervisor on retirement may be allowed 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.
- 3.3 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 case of interdisciplinary / multidisciplinary 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

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

- 5.1 Every Department/School/ Centre of research in the University shall have a Research Committee (RC) with the Head of the Department/School/ Centre as Chairman, and all the recognized Research Supervisors of the University serving in the Department/School/ Centre as members. The Vice Chancellor 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/School/ Centre of the University concerned or their nominees as members.
- 5.3 The Research Committee in the University Department/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 a year to review the progress of research work of the registered research students in the Department/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 convener, joint supervisor (if any) and an approved research supervisor from the department and an external expert (if the research committee recommend) from outside the Department, in the same area as members. The Head of the Department/Division/Centre shall be the chairman of the doctoral committee and Dean of the concerned Faculty shall be an ex-officio member.

- 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 and Dean of the concerned Faculty shall be an ex-officio member.
- 6.4 The Doctoral Committee shall first meet normally within a month of being constituted, and not later than two months of admission of the candidate. The meetings of the DC should be convened AT LEAST once in a year in the first three years of the candidate and a minimum of twice a year thereafter.
- 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 prepare syllabi and panel of question paper setters / examiners for the Ph.D. courses I and II.
- 6.8 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.
- 6.9 The Doctoral Committee shall be responsible for the preparation of the confidential panel of adjudicators for evaluation of the thesis, which shall be submitted after verification by the Dean of the Faculty concerned to the Controller of Examination for further necessary action.

## 7. Notification for Ph.D. Programme.

- 7.1 All Academic Unit of Research of the University and Recognized Research Institutions that are allowed to conduct Ph.D. programmes, shall:
  - 7.1.1 Decide on an annual basis through their Departmental Research Committees (DRC) after collecting information from the Supervisors concerned, number of Ph.D. scholars to be admitted, as per the norms regarding the scholar- supervisor ratio and the facilities available;
  - 7.1.2 Notify well in advance in the University website the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission and procedure for admission. The Notification for Ph.D. admissions shall be issued once a year through notification in at least two national newspapers, of which at least one shall be in the regional language by the University stating that the details are available in the website.
- 7.2 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.

- 7.3 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.
- 7.4 Candidates working/residing outside India (NRI status) shall not be eligible for registration for Ph.D.
- 7.5 Foreign students shall not be allowed to do part-time 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 **60%** 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, 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**

- 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 taking into account the reservation policy of the Central/State Government from time to time as applicable.
  - 9.1.1 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.
  - 9.1.2 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.
  - 9.1.3 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 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.
- 10.2 Candidates who are exempted from DAT under the above clauses may be admitted at any time during the academic year on submission of applications in the prescribed format with consent from a recognized supervisor and the recommendations of the Research Committee.
- 10.3 All candidates who have passed the written part of DAT with a minimum of 50% marks 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
- 10.4 The committee shall assess the student and award marks for his/her performance in the interview. The interview to be organized by the Academic Unit of Research of the University, where the candidates shall be required to discuss their research interest/area before the Departmental Research Committee (RC) or to a Subcommittee constituted for the same. The committee shall also scrutinize the academic records and the research proposal submitted by the candidate.

## 11. Preparation of Rank list

- 11.1 The rank list will be prepared for DAT qualified candidates with the following weightage of marks
- |     |                        |       |
|-----|------------------------|-------|
| (a) | Written Test           | : 50% |
| (b) | Master's Degree        | : 20% |
| (c) | NET/GATE/similar exams | : 5%  |
| (d) | M.Phil.                | : 5%  |
| (e) | Interview              | : 20% |
- 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 31<sup>st</sup> October 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 All Academic Units of Research shall provide the list of all Ph.D. registered students in their Research Unit, on year-wise basis, to the Registrar for publication on the website of the University before 30<sup>th</sup> December. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/joint-supervisor, date of enrolment/registration.

## 13. Payment of Fees

- 13.1 Every research student shall be required to pay, in time, the fees prescribed by the University every semester, failing which his / her name shall stand removed from the rolls if the default is more than 30 days after the due date. 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, etc.
- 13.2 Within a period of 30 days from the date of removal from the rolls, the candidate may be readmitted by the Head of the academic unit / Research Institution on an application made by the candidate, duly recommended by the Research Supervisor and on payment of all arrears of fees, readmission fee and the fine as the University may prescribe from time to time.
- 13.3 In cases where the default in payment of fees exceeds 30 days and candidate fails to apply for readmission within the next 30 days, he / she will be required to apply for readmission within 90 days, which shall be placed for consideration before the Research Committee. If the Research Committee is satisfied with the genuineness of the cases of delay, it shall be competent to take appropriate decision. A candidate who is in default of fees for more than 180 days from the due date, the registration shall remain cancelled.
- 13.4 Every research student shall submit a report of the progress of research and attendance certificate countersigned by the supervisor and HOD/Head of the Institution pertaining to the previous semester before the payment of the next semester fees.

#### 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 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
- 14.3 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.
- 14.4 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.
- 14.5 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.
- 14.6 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. Course Work.

- 15.1 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 16 credits. The course work should be completed within TWO years of joining by all Full Time and Part Time research scholars, failing which they will be deemed to have discontinued the Ph.D. program (Scholars in Full time/regular jobs will have to take leave and attend the course work for a semester on Full-time basis).  
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.

15.2 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.

15.3 Candidate may undergo course work in any academic unit of research with the approval of the concerned DC and RC

15.4 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.

15.5 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:

$$\text{GPA} = \frac{G_1C_1+G_2C_2+G_3C_3+\dots\dots\dots G_nC_n}{C_1+C_2+C_3+\dots\dots\dots C_n}$$

where 'G' refers to the grade weightage and 'C' refers to the credit value of the corresponding course undergone by the student.

- 15.6 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.
- 15.7 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).

#### 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 is 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 candidate who is registered as a research student shall be eligible to request for approval or a change in the title of his/her thesis and the Doctoral Committee shall be competent to give assent to the request, provided that in the case of 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 is 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 Research Committee shall be empowered to grant the request, which is duly recommended by the research supervisor, and endorsed by the Doctoral Committee. In such cases the matter shall be reported to the University for confirmation.
- 18.2 Conversion from part-time to full-time or vice versa will be allowed only twice 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 Ph.D. scholars shall have at least TWO research papers published/accepted in SCI Indexed or UGC recognized journals 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. The supervisor and Scholar shall ensure that in all publications, the Scholar's address and affiliation shall be that of "Cochin University of Science and Technology", so that it is accepted for this purpose.

## **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 minimum period of three years of registration.
- 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 inform 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 submission 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 19.2, and certificate of at least two conference paper presentations during the period of Ph.D. registration. The above published papers and conference papers should be related to the work presented in the thesis.
  - d) Attendance certificate from the Head of Academic Unit of Research.
  - e) A certificate from the 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 Two months from the date of submission of synopsis. The delay in submitting the thesis beyond TWO 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 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 bona fide 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 issue the certificate of no plagiarism only if the report of software conducting plagiarism checks 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 evaluation, the thesis shall have a certificate vouching that the plagiarism level is below 15%.
  - d. An appendix containing research articles published by him/her alone or jointly with others in the same area of study as additional 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 eight 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 ONE 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.

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.

- 21.5 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.
- 21.6 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.
- 21.7 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/Colleges.
- 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.