

UNIVERSITY OF KERALA
(Abstract)

Guidelines for implementing UGC Minimum Standards and Procedures for award of M.Phil/Ph.D Degree - Regulations, 2009 - Sanctioned - Orders issued.

ACADEMIC E.1 SECTION

Ac.E1/2016

Dated, Thiruvananthapuram 01/02/2016.

Read: U.O. No. Ac.E1/2015 dated 08/01/2016.

ORDER

Sanction has been accorded by the Vice-Chancellor to the Guidelines as below, framed in conformity with the UGC Minimum Standards and Procedures, 2009 being followed for implementing the Regulations for the award of M.Phil/Ph.D Degree by the University of Kerala.

1. Introduction
 - 1.1 The Secretary, University Grants Commission has informed the Vice Chancellors of all the Universities that some of the Universities are circumventing the provisions of UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Regulations, 2009 in matters related to Qualifications of Research Supervisors and the procedure for evaluation of research reports.
 - 1.2 It has been intimated by the UGC that in case of any aberration to the UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D., it will be proceeded against as per the UGC Act, 1956 and the name of the University will be put in the defaulters list on the UGC website.
 - 1.3 The UGC Regulations, 2009 insist that along with the Research Degree, the University, shall have to issue a separate certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations.
 - 1.4 The Deans' Council referred to in these guidelines elsewhere is the academic body consisting of Vice Chancellor, Pro-Vice-Chancellor, Faculty Deans and the Registrar (Convener) of the University.
2. Research Supervisor
 - 2.1 The University shall allocate only regular faculty members in the teaching department or the affiliated PG Colleges/Institutes as Research Supervisors

2.2 Each Research Supervisor shall not have, at any given point of time, more than eight Ph.D Scholars and five M.Phil Scholars.

2.3 The number of seats for M.Phil. and Ph.D. shall be decided well in advance and notified in the University website or advertisement on the basis of the data furnished by the Heads of Departments of University Departments and Heads of Approved Research Institutions.

3. Procedure for Admission

3.1 The University shall admit M.Phil students through an Entrance Test conducted at the University level. However, the University shall decide separate terms and conditions for those students who qualify UGC/CSIR. (JRF) Examination /SLET/GATE/Teacher Fellowship -holder. Similar approach shall be adopted in respect of Entrance Test for Ph.D Programme.

3.2 The candidates applied for admission/registration shall be interviewed by the University Department/Institution, as the case may be.

3.3 The candidates are expected to suggest and discuss their research interest/area at the time of Doctoral Interview held for selection to registration.

3.4 The Department/Approved Research Centres shall pay due attention to the State Reservation Policy in force, while granting admission to the M.Phil/Ph.D. Programmes.

4. Allocation of Research Supervisor

4.1 Allocation of the supervisor for a selected scholar shall be decided by the Department in a formal manner depending on the number of scholars per faculty member, the available specialization among the faculty supervisors, and the research interest of the scholar as indicated during interview, by the scholar.

4.2 The allotment/allocation of supervisor shall not be left to the individual scholar or teacher.

5. Coursework

5.1 Each M.Phil./Ph.D. Scholar, after having been admitted, shall be required by the University, to undertake course work for a minimum period of one semester.

5.2 The course work shall be treated as pre M.Phil/Ph.D. report preparation stage and must include a course on research methodology which may include quantitative methods and computer applications. It may also involve reviewing of published research in the relevant field.

5.3 The University shall decide the minimum qualifying requirements for allowing a student to proceed further with the writing of the dissertation/thesis

6. Evaluation and Assessment

6.1 Each scholar shall undertake the research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the University, upon satisfactory completion of the course work, which shall form part and parcel of the M.Phil./Ph.D. Programme.

6.2 Prior to submission of the thesis, the scholar shall make a pre-M.Phil./Ph.D. presentation in the Department that may be open to all faculty members and research scholars with a view to obtaining feedback and comments and such feedback and comments obtained shall be suitably incorporated into the draft thesis under the advice of the research supervisor.

6.3 Ph.D. Scholars shall publish at least two research papers in a referred Journal bearing ISSN before the submission of the thesis for adjudication, and produce evidence for the same in the form of acceptance letter or the reprint.

6.4 The dissertation produced by the M.Phil. Scholar in the approved Institutions/Departments and submitted to the University as the case may be, shall be evaluated by two experts, out of which at least one shall be from outside the University.

6.5 The thesis produced by the Ph.D. Scholar in the approved Institutions/Departments and submitted to the University, as the case may be, shall be evaluated by three experts, out of which at least two shall be from outside the State.

6.6 The three experts for evaluation of Ph.D. thesis shall be appointed by the University from a panel of experts prepared and submitted by the Supervising Teacher and duly countersigned by the Head of the University Department/ Chairman PG Board of Studies in the subject concerned and endorsed by the Faculty Dean.

6.7 The M.Phil. Scholar shall undergo viva voce on receipt of satisfactory evaluation reports.

6.8 The Ph.D. scholar shall undergo an open defence cum viva voce, on receipt of satisfactory evaluation reports.

6.9 The open defence cum viva voce shall be conducted by a Board consisting of one of the External Examiners nominated by the Vice Chancellor, Dean of the Faculty concerned, Head of the University Department concerned and the Research Supervisor. The External Examiner shall serve as the Chairman and the Research Supervisor as the Convener of the Board.

7. Conduct of open defence cum viva voce

7.1 The presence of all approved research guides and research scholars concerned shall be ensured at the Open Defence by the Heads of University Departments/Approved Research Centres.

- 7.2 The minimum number of genuine participants for the conduct of open defence shall be 25 and the genuine participants for this purpose would be the approved research guides and research scholars in the subject of study concerned.
- 7.3 The Heads of University Departments/Approved Research Centres shall have to forward the attendance statements with the countersignature of the Faculty Dean, so as to ensure the participation of genuine invitees as mentioned in clause 7.2 of these guidelines.
- 7.4 Absence of research scholars in the open defence without prior permission shall have to be viewed seriously by the Heads of Departments, since the research scholars are the real beneficiaries of the open defence with their active participation in the discussions.
- 7.5 Each department shall have to maintain an updated list of email addresses of the invitees and the invitation is to be extended by the supervising teacher concerned by email, attaching the synopsis.

8 Conduct of Pre-Submission presentation

- 8.1 The Pre-Submission presentation shall be conducted by a Board consisting of one of the External Experts nominated by the PVC from the panel forwarded by the Head of Department; Dean of the Faculty concerned; Head of the University Department concerned and the Research Supervisor. The Head of Department shall serve as the Chairman and the Research Supervisor as the Convener of the Board.
- 8.2 The deliberations of Pre-Submission presentation of each thesis for the award of Ph.D Degree are to be made meaningful for improving the quality of the work.
- 8.3 The presence of approved research guides and research scholars concerned, is to be ensured by the Head of Departments for the Pre-Submission presentation in the same manner as that of open defence.

9. Miscellaneous matters

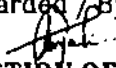
- 9.1 There shall be no change in the existing procedures for submission of application for change of Research Supervisors in respect of the research candidates who are already granted registration by the University.
- 9.2 The Research Supervisors who retire from service on attaining superannuation from 2015-2016 academic year onwards shall be permitted to continue the guidance for one year from the date of retirement to complete the research work of the then existing research scholars

- 9.3 The existing Research Supervisors who have retired from service, but not covered under Clause 9.2 of these guidelines shall be permitted to continue the guidance and complete the research work of the existing research scholars before 15th July 2016.
- 9.4 The Departmental Doctoral Committee shall have to reallocate the candidates working under the guidance of research supervisors already retired from service and not covered under Clauses 9.2 and 9.3 of these guidelines.
- 9.5 All the Research Supervisors already approved by the University inclusive of retired teachers shall be permitted to continue as co-supervisor of the existing research scholars.
- 9.6 The Departmental Doctoral Committee shall forward further recommendations for registration to new candidates, only after regularising the registration of existing scholars through reallocation of research supervisors, wherever found necessary.
- 9.7 Each Research Supervisor referred to in Clause 2.1 of these guidelines shall be granted two supernumerary seats, if found necessary, for accommodating the existing research scholars on reallocation, and such supernumerary seats shall be regularised against the subsequent vacancies arising on submission of thesis/ cancellation of registration.
- 9.8 Grievances of the existing research scholars/supervising teachers on matters not referred to in these guidelines shall be individually addressed and the decisions on such issues shall be taken by the Vice Chancellor in consultation with the Deans' Council, wherever found necessary.
- 9.9 The procedures and methods, other than those specifically mentioned in these guidelines, shall be dealt with by adhering to the existing guidelines/conventions.

Orders are issued accordingly.

Sd/-
DR. M. JAYAPRAKAS
REGISTRAR
-DCDC in-charge-

- Copy to: 1. Heads of all University Teaching/Research Department (To be downloaded from the website) (www.research.keralauniversity.ac.in)
2. The Heads of all Research Centres (To be downloaded from the website www.research.keralauniversity.ac.in)
3. The PS to VC / PVC
4. The PRO / Reception Officer
5. The PA to Registrar / FO / CE
6. The Director, Computer Centre, University Campus, Palayam
7. Ac.EII/Ac.EV/Ac.EVI/Ac.EVII
8. Stock File/File Copy / Office Copy

Forwarded / By Order

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