

**UNIVERSITY OF KERALA**  
**(Abstract)**

Regulations for Award of Ph.D. Degree, University of Kerala, 2022 – Approved – Orders issued

**ACADEMIC 'E1' SECTION**

Ac.E1/23887/2022

Thiruvananthapuram, Dated: 07.12.2023

- Read: 1. University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 published in the Gazette of India, No.544, PART III-Section 4 dated 07.11.2022  
2. Item No. 04.11.A37 of the minutes of the meeting of the Syndicate held on 04.10.2023  
3. Minutes of the meeting of Sub-Committee held on 31.10.2023  
4. Item no. A1 of the minutes of the meeting of the Standing Committee of the Syndicate held on 06.11.2023  
5. Item No. 95 of the Minutes of the meeting of Academic Council held on 21.11.2023

**ORDER**

The University Grants Commission notified the Minimum Standards and Procedures for Awards of Ph.D. Degree, Regulations, 2022 in the Gazette of India on 07.11.2022, vide paper read as (1) above.

The Syndicate at its meeting held on 04.10.2023, vide paper read as (2) above, resolved to constitute a sub-committee to prepare the draft Regulations for implementing the UGC Regulations, 2022 in the University of Kerala and place the report of the sub-committee before the Standing Committee of the Syndicate. The sub-committee at its meeting held on 31.10.2023, drafted the Regulations for Award of Ph.D. Degree, University of Kerala, 2022 and it was placed before the Standing Committee of the Syndicate.

The Standing Committee of the Syndicate at its meeting held on 06.11.2023, recommended to forward the draft Regulations to the Academic Council with certain modifications. The Vice-Chancellor, in exercise of the powers conferred upon him under section 10(13) of the Kerala University Act, 1974, approved the above recommendation. The Academic Council at its meeting held on 21.11.2023, resolved to implement the UGC (Minimum Standards and Procedures for Awards of Ph.D. Degree) Regulations, 2022 by approving the Regulations for Award of Ph.D. Degree, University of Kerala, 2022 and implementing the same from the January 2024 session.

Sanction has therefore been accorded by the Vice-Chancellor to implement the Regulations for Award of Ph.D. Degree, University of Kerala, 2022 (Appended) with effect from January 2024 session.

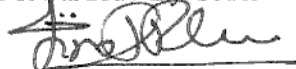
Orders are issued accordingly.

Sd/-  
**Prof. (Dr.) K. S. Anil Kumar**  
**REGISTRAR**

To,

1. The P.S to Vice-Chancellor
2. The P.A to Registrar/ Controller of Examinations/ Finance Officer
3. The Deans of all Faculties
4. The Chairpersons of all Board of Studies (PG)
5. The Chairpersons of all Doctoral Committees
6. The Director, IQAC
7. The Director Research
8. The Director, Kerala University Computer Centre
9. The Heads of University Teaching Departments / Centres / CSS
10. The Heads of all recognized Research Institutions/Departments of affiliated Colleges
11. All Academic Sections
12. The PRO/RO/Enquiry
13. The Stock File/File Copy/Office Copy

Forwarded / By Order



Section Officer

## **Regulations for Award of Ph.D. Degree, University of Kerala, 2022**

### **(Minimum Standards and Procedures)**

The Regulations for Award of Ph.D. Degree, University of Kerala, 2022 as below, framed in adherence to the UGC (Minimum Standards and Procedure for Awards of Ph.D. Degree) Regulations, 2022 notified in the Gazette of India [No.544, PART III- Section 4] on 07<sup>th</sup> November, 2022 and in supersession of the Regulations for Award of Ph.D. Degree, University of Kerala, 2016, namely: -

#### **1. Short title, Application, and Commencement –**

- (1) These Regulations may be called Regulations for Award of Ph.D. Degree, University of Kerala, 2022.
- (2) They shall be made applicable to the candidates seeking registration for Ph.D. Degree from January 2024 session.

#### **2. Definitions - (1) In these Regulations, unless the context otherwise requires –**

- a) “Adjunct Faculty” means a part-time or contingent instructor, but not full-time faculty member hired to teach by a Higher Educational Institution;
- b) “Cumulative Grade Point Average (CGPA)” means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed up to two decimal places;
- c) “Credit” means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit;
- d) “Research Institute/Centre” means a University Department or an institution engaged in higher education and/or research, either established by the University as its constituent unit or is affiliated with it and approved by the University for the purpose of Ph.D. research;
- e) “Course” means one of the specified units which go to comprise a programme of study;
- f) “Course Work” means courses of study prescribed by the School/Department/ Centre to be undertaken by a student registered for the Ph.D. Degree;
- g) “Degree” means a degree awarded by the University of Kerala.
- h) “External examiner” means an academician/researcher with published research work who is not part of the University of Kerala where the Ph.D. scholar has registered for the Ph.D. programme;
- i) “Foreign Educational Institution” means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, postgraduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode;
- j) “Grade Point” means a numerical weight allotted to each letter grade on a 10-point scale;
- k) “Guide/Research Supervisor” means an academician/researcher recognized by the University of Kerala to supervise the Ph.D. scholar for his/her research;

l) "Interdisciplinary Research" means research conducted by a Ph.D. scholar in two or more academic disciplines;

m) "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;

n) "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020;

o) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own;

p) "Programme" means a higher education programme pursued for a degree;

q) "Prospectus / Notification" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to the University, to the general public (including to those seeking admission);

r) "Research Proposal / Synopsis" means a brief write-up giving an outline of the proposed research work which the Ph.D. scholar shall submit along with the application for registration for Ph.D. programme;

s) "University" means University of Kerala

(2) Words and expressions used and not defined in these Regulations but defined in Act/Statutes and not consistent with these Regulations shall have the meanings assigned to them in that Act/Statutes thereunder.

### **3. Eligibility criteria for admission to the Ph.D. Programme –**

The following are eligible to seek admission to the Ph.D. programme:

(1) Candidates who have completed:

(i) A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed

or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the State Government / University from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the State Government / University from time to time.

(2) Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer) / Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as decided by the State Government / University from time to time.

#### **4. Duration of the Programme –**

(1) Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

(2) A maximum of an additional two (2) years can be given as an extension subject to the approval of the Syndicate; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

(3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

#### **5. Procedure for admission –**

(1) The admission shall be based on the criteria notified by the institution, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and taking into account the reservation policy of the State Government from time to time. The mode of implementation of the reservation policy in the admission for Ph.D. programme shall be based on the University orders issued in this regard from time to time.

(2) Admission to the Ph.D. programme shall be made using the following methods:

i. University shall admit students who qualify for fellowship/scholarship in UGC-NET/UGC-CSIR NET/GATE/CEED and similar National level tests / State level tests approved by the University exclusively for this purpose, based on an interview. University shall also admit the candidates who have qualified M.Phil. degree and Ph.D. entrance examination conducted by the University, prior to January 2024, based on an interview.

And / Or

ii. University shall admit students through an Entrance Test. The syllabus shall consist of 50% of research methodology, and 50% of the subject-specific.

iii. Students who have secured 50 % marks each in research methodology and the specific subject are eligible to be called for the interview. A relaxation of 10% marks will be allowed in the entrance examination for the candidates belonging to SC/ST category. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to OBC/differently-abled category, Economically Weaker Section (EWS), and

other categories of candidates as decided by the State Government / University from time to time.

iv. University shall decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

v. Provided that for the selection of candidates based on the entrance test conducted by the University, a weightage of 70 % for the entrance test and 30 % for the performance in the interview / viva- voce shall be given.

(3) University shall notify, well in advance on the website, specifying the number of seats for admission, subject / discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates;

(4) University shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of Ph.D. scholars (specifying the name of the registered Ph.D. scholar, the topic of his/her research and the date of admission) admitted under them on the website and update this list every session.

#### **6. Allocation of Research Supervisor- Eligibility criteria to be a Research Supervisor, Co-Supervisor, number of Ph.D. scholars permissible per supervisor, etc.**

(1) Permanent faculty members working as Professor/Associate Professor of the University Departments / affiliated Post-Graduate colleges with a Ph.D., and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in University Departments / affiliated Post-Graduate colleges with a Ph.D., and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the University where the faculty member is employed or in its affiliated Post-Graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by the University under the supervision of a faculty member who is not an employee of the university or its affiliated Post- Graduate Colleges / Institutes would be in violation of these Regulations. In any case, such affiliated Post-Graduate Colleges / Institutes should be recognized as approved research centre of the University.

For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfil the above requirements.

Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Co-Supervisors from other institutions may be permitted with the approval of the Syndicate.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

(2) In case of interdisciplinary / multidisciplinary research work, if required, a Co-Supervisor from outside the Department / School / Centre / College / University may be appointed subject to the approval of the Syndicate.

(3) An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.

(4) In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the Higher Educational Institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

(5) Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.

#### **7. Admission of International students in Ph.D. programme –**

(1) Each supervisor can guide up to two international research scholars, on a supernumerary basis, over and above the permitted number of Ph.D. scholars as specified in Clause 6.3 above.

(2) The selection procedure for Ph.D. admission of international students shall be in accordance with the rules/guidelines/norms in this regard issued by the University from time to time.

8. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in Clause 6.3 and Clause 7.1.

#### **9. Course Work- Credit requirements, number, duration, syllabus, minimum standards for completion, etc. –**

(1) The Credit requirement for the Ph.D. coursework is 14 credits, including a “Research and Publication Ethics” course and a research methodology course. The Department Doctoral Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

(2) All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching / education / pedagogy / writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching / research assistantship for conducting tutorial or laboratory work and evaluations.

(3) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

#### **10. Department Doctoral Committee and its functions –**

(1) There shall be a Department Doctoral Committee for each Ph.D. scholar. The Research Supervisor of the Ph.D. scholar concerned shall be the Convener of this committee, and this committee shall have the following responsibilities:

i. To review the research proposal and finalize the topic of research.

ii. To guide the Ph.D. scholar in developing the study design and methodology of research and identify the course(s) that he/she may have to do.

iii. To periodically review and assist in the progress of the research work of the Ph.D. scholar.

(2) Each semester, a Ph.D. scholar shall appear before the Department Doctoral Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Department Doctoral Committee shall submit its recommendations along with a copy of Ph.D. scholar's progress report to the University. A copy of such recommendations shall also be provided to the Ph.D. scholar.

(3) In case the progress of the Ph.D. scholar is unsatisfactory, the Department Doctoral Committee shall record the reasons for the same and suggest corrective measures. If the Ph.D. scholar fails to implement these corrective measures, the Department Doctoral Committee may recommend, with specific reasons, the cancellation of the registration of the Ph.D. scholar from the Ph.D. programme.

#### **11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc. –**

(1) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis.

(2) Before submitting the dissertation/thesis, the Ph.D. scholar shall make a presentation before the Department Doctoral Committee concerned, which shall also be open to all faculty members and other research scholars/students.

(3) The University shall have a mechanism using well-developed software applications to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a Ph.D. degree.

(4) A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis is plagiarism free and has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

(5) The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the University concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Department Doctoral Committee / faculty members / research scholars, and students. The rules related to the adjudication of Ph.D. thesis shall be based on the University orders issued in this regard from time to time.

(6) The viva-voce of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D.

(7) The University shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

**12. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes. –**

(1) Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.

(2) Colleges and research institutions established by the central government or a State government whose degrees are awarded by the University shall offer Ph.D. programmes provided they have:

- i. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
- ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the University.

**13. Ph.D. through Part-time Mode –**

(1) Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

(2) The University shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:

- i. The candidate is permitted to pursue studies on a part-time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.

(3) Any institutions / colleges approved as research centre of the University shall not offer Ph.D. programme through distance and / or online mode.

**14. Grant of M.Phil. Degree –**

Any institutions or colleges affiliated to University of Kerala shall not offer the M.Phil. (Master of Philosophy) programme.

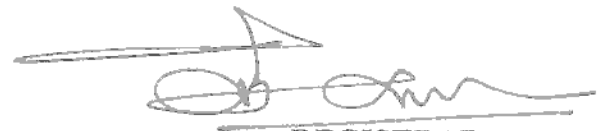
**15. Issuing a Separate / Special certificate –**

Prior to the actual award of the Ph.D. degree, the degree- awarding University shall issue a Separate / Special certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

**16. Award of Ph.D. degrees prior to Notification of these Regulations –**

Award of degrees to candidates registered for the Ph.D. programme on or after July 2009 session, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the implementation of these Regulations.

**17. Depository with INFLIBNET.-** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the University shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.



**REGISTRAR**