

(APPENDIX-1)

KANNUR UNIVERSITY

Ph.D programme –Regulations

1. Title, Application and Commencement

1.1 These Regulations shall be called “**Regulations for Ph.D Registration and Award of degree of Doctor of Philosophy-2011**”.

1.2 These Regulations shall apply to the University Departments of Teaching and Research as well as approved Research Centres in affiliated colleges and other Research Centres recognized by the University for the purpose of research.

1.3 These Regulations shall come into force with effect from 01/01/2011

2. Eligibility

2.1 Candidates who have secured 55% marks (or equivalent Grade) and above in their P.G. degree examination of this University or equivalent degree of any other Indian, foreign Universities recognized by Kannur University, shall be eligible to apply for the entrance examination for registration for Ph.D.

2.1.1 The teachers of Government/Aided Colleges and University Teaching departments shall be given a relaxation of 5% marks.

2.1.2 For SC/ST candidates, the minimum marks required for applying is 50% (or equivalent grade) in the P.G. examination.

2.1.3 The physically challenged and OBC (Non Creamy Layer) candidates are also eligible for applying for the Entrance Test prescribed for admission to Ph.D.programme, if they have secured 50% at their qualifying PG Examinations.

2.2 Candidates seeking admission to the Ph.D programme shall apply in the prescribed form to the Registrar of the Kannur University, on or before the last date mentioned in the notification.

2.3 Candidates have to qualify the entrance examination conducted by the University in order to register for Ph.D programme.

2.3.1 The following categories are exempted from the Entrance Test:

- (i) Approved Government/Aided College Teachers and Teachers of University Teaching Departments.*
- (ii) Self Financing (Unaided) College teachers working in the Colleges affiliated to Kannur University with five years continuous teaching experience at the college level.*
- (iii) Those who have cleared JRF/Lectureship in the NET/GATE examinations conducted by such bodies as UGC, CSIR, ICAR and ICMR, and other similar institutions.*
- (iv) Candidates who have secured the Research Fellowship of State/Central Government funding agencies.*
- (v) Candidates having M.Phil Degree (in the subject concerned) obtained from a recognized University, through regular mode.*
- (vi) Those selected to Rajiv Gandhi National Fellowship Scheme (RGNFS).*
- (vii) Regular Scientists/Social Scientists/Research Staff in the service of recognized scientific research centres, owned or funded by the state/central government, who have completed at least three years of service.*

2.4 A candidate must have applied for registration within one year from the date of publication of the result of the Entrance Examination, subject to availability of Research Guide. In the event of non availability of Research Guides, the validity of the Rank list shall be extended to two years.

3. Entrance Examination:

3.1 An Admission Committee consisting of the following shall be responsible for the conduct of the Entrance Test.

- (i) Registrar (convener)
- (ii) Controller of Examinations
- (iii) Three Senior Faculty Members, including one from a Research Centre of an affiliated college of the University, nominated by the Vice-Chancellor.

3.2 Question papers for the written test based on the prescribed syllabus shall be prepared by the external experts in the subject concerned nominated by the Vice chancellor.

3.2.1 *The maximum marks for the entrance examination shall be 100 and consist of descriptive and objective type of questions. The duration of the entrance examination shall be three hours. The date of entrance examination and publication of result shall be clearly mentioned in the notification inviting application for admission to the Ph.D. programme. Syllabus for the entrance examination shall be based on the PG syllabus concerned and based on the UGC/CSIR-NET/GATE Syllabus approved by the Vice-Chancellor.*

3.3 Candidates who secure 50% marks and above in the entrance examination are eligible for registration for Ph.D programme. However, candidates belonging to SC/ST communities are eligible if they secure 35% marks in the entrance examination. Based on the marks scored in the entrance examination and the qualifying examination (50% weightage for each) a rank list of candidates shall be prepared and published.

3.3.1 For those candidates who are exempted from the Entrance Examination, their percentage of marks in the P.G.Examination (100% weightage) may be considered for the preparation of the Rank List.

4. Registration

4.1 Registration to Course Work leading to Ph.D of the University is granted to candidates who are in the Rank list published by the University for that purpose, subject to availability of vacancies in the discipline concerned.

4.1.1 If SC/ST candidates included in the Published Rank list are not granted Ph.D. registration for want of vacancies, creation of additional Slot will be considered to accommodate such candidates.

- 4.2** The Registrar shall issue orders granting registration for the Course Work leading to Ph.D degree. 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.
- 4.3** At the time of joining, the candidate has to pay prescribed fees and caution deposit fixed by the University.
- 4.4** A recognized Research Guide can guide a maximum of **8** (eight) Research Scholars at a time, including Part-time and Full-time scholars of all the Universities, where he/she is a Research Guide.
- 4.5** Candidates who were awarded Fellowship from various agencies and exempted from the Entrance Test prescribed for admission to Ph.D programme as per para 2.3.1., may apply for Provisional Registration, in the context of lapsing of the fellowship; for not being registered for Ph.D programme during the period stated in the Fellowship Award Letter. Such candidates have to successfully complete the Course work immediately, to make the provisional registration absolute.

5. Course Work and Preliminary Qualifying Examination (PQE)

- 5.1** Candidate registered for Course Work leading to Ph.D degree shall undergo a Course Work of six months duration and appear for the Preliminary Qualifying Examination (PQE) within one year of getting registration.
- 5.1.1** Course work shall be conducted at the University Departments, with the Head of the Department concerned as the Co-ordinator, utilizing the resources and expertise of all the Research Guides of that subject attached to the University. In the subjects not offered by the University, the University will identify the centres for the conduct of the course work with the Head of the Research centre as Co-ordinator. All the Research Guides in the subject concerned shall ensure their effective participation in the course work.

- 5.2** After the completion of the Course Work the candidate shall submit the Synopsis of the proposed research work. This should be done in consultation with any of the Research Guides in the Department/Research Centres under whom he/she intends to do the research work.
- 5.2.1** The Synopsis of not less than 4 pages and not exceeding 10 pages will consist of (i) Title of the proposed research work, (ii) Statement of the problem (iii) Objectives of the study, (iv) Methodology (v) Review of literature (vi) Chapter Scheme, within a period of 30 days from the completion of the course work. The Synopsis (six copies) along with the application and the chalan receipt in original for the remittance of fee for the Ph.D. registration, fixed by the University from time to time shall be submitted to the Registrar of the University.
- 5.3** There shall be a Departmental Doctoral Committee(DOC) consisting of (i) the Head of the Department, who shall be the Chairman of the Committee,(ii) Supervising teacher of the candidate and(iii) two Research Guides in the subject concerned nominated by the Vice-Chancellor. In the case of Research Centres other than University Departments one expert may be from the centre and the other from any of the approved Research Centers/Department nominated by the Vice-Chancellor. Three members shall constitute a quorum for the meeting and no business shall be transacted at a meeting of Doctoral Committee (DOC) at which supervising teacher is absent. If the Head of the Department is not a Research Guide, one of the Research Guides shall be the Chairman of the Doctoral Committee.
- 5.4** The candidate shall present the synopsis before the Doctoral Committee on a date and time fixed by the committee. If found necessary after discussion with the candidate, the Doctoral Committee shall suggest modifications in the programme. After modification, if any, the candidate shall submit the revised synopsis within a period fixed by the DoC, to the Chairman of the DoC, who shall forward the application to the Registrar of the University.
- 5.5** A Research Scholar shall be assessed, based on the written assignment, presentation, and class tests during the period of Course Work. Maximum marks for

Course Work shall be 200 and method of assessment shall be internal. Minimum 50% Marks is required for the successful completion of the Course Work.

- 5.5.1** On successful completion of the Course Work and within one year after registration the scholar shall be permitted to appear for the PQE consisting of a written examination and dissertation on the research topic chosen by the scholar. The candidates have to submit the required application in the prescribed form accompanied by a chalan receipt for the PQE fee (Fixed by the University from time to time).PQE shall be conducted by the Controller of Examinations.
- 5.5.2** The Syllabus for the PQE shall be prepared by the Supervising Teacher of the research scholar and submitted at the beginning of the P.Q.E.programme along with a Panel of at least 6 Experts in their field of specialization (with full postal address, phone number and e-mail-ID), to the Controller of Examinations.
- 5.5.3** The answer scripts and dissertation shall be valued by an external expert nominated by the Vice Chancellor, from a panel consisting of at least 6 examiners submitted by the supervising teacher.
- 5.5.4** The maximum marks for PQE shall be 300 and will consist of (i) two theory papers of three-hour duration and 100 marks each (ii) dissertation and viva-voce with equal weightage (50 marks each). Of the two papers, one shall be methodology and the other shall be the paper in the subject area of research of the candidate.
- 5.5.5.** For the successful completion of the course work and PQE the candidate has to secure a minimum of 50% marks or the equivalent grade. The qualified candidates shall be issued a memo by the Controller of Examinations, informing them the eligibility to continue his/her research work.
- 5.6** On the basis of the performance in the written examination and dissertation, a scholar is judged to have completed successfully the course work and the preliminary qualifying examination.

- 5.7** M. Phil. Degree holders are exempted from the Course Work and Preliminary Qualifying Examination provided their area of Doctoral Research falls within the subject in which they have obtained their M.Phil. Degree. The Doctoral committee will examine this matter and recommend to take the final decision.
- 5.8** On valid reasons the Vice-Chancellor can give extension of time for passing Course Work and PQE for **one year** and the syndicate can give extension for another one year. In both cases request of the candidate for the extension shall be recommended and forwarded by the Research Guide & Head of the Research centre for consideration. If a scholar fails in the Course Work and PQE even after this then the scholar has to re-register for the Ph.D programme, undergoing all processes specified earlier.

6. Submission of Thesis

- 6.1** The Full-time/Part-time research scholars shall submit his/her thesis after a minimum period of three years and within a maximum of 5 years for full time scholars and 6 years for Part-time scholars from the date of registration.
- 6.1.1.** One year extension shall be granted by the Vice-Chancellor to both full-time and part-time scholars, on the recommendations of Doctoral Committee, if requested on reasonable grounds in the prescribed application form accompanied by a chalan receipt of remittance of an extension fee fixed by the University.
- 6.1.2.** Candidates who fail to submit the thesis even within extended period shall seek re-registration on the recommendations of the Doctoral Committee.
- 6.2** A research scholar before submitting the thesis shall present a pre-submission seminar in the Department/Research Centre, which will be attended by the Members of the Doctoral Committee, other Faculty Members, Research Scholars and students. A copy of the proceedings of the Seminar, approved by the Research Guide and countersigned by

the Head of the Department/Research Centre shall be submitted along with the application for evaluation of Ph.D thesis.

6.3 During the period of research, the scholar has to publish at least one research paper in a peer reviewed/refereed journal or an equivalent publication in the area of his/her topic of research. **In those subjects where such journals are not available he/she may be permitted to publish the research paper in the journal approved by the University.** A copy of the research paper/acceptance letter from the journal must be submitted along with the application for evaluation of the Ph.D thesis.

6.4 The candidate shall submit ten copies of the abstract of the thesis, signed by the Research Guide through the Head of the Department/Research Centre, to the Controller of Examinations, one month prior to the submissions of the thesis.

6.5 The supervising teacher shall forward the abstract along with a panel of at least 12 experts (with the name, designation and address, telephone numbers and e-mail address and a brief Bio-data) from academic institutions or academicians in research institutions.

While preparing the panel the following guidelines may be followed.

- 1. The panel of examiners shall be prepared by the supervising teacher and forwarded to the University with the approval of the Doctoral Committee.*
- 2. No teacher working in/retired from any of teaching or Research Centres of the University/affiliated colleges of the University be included in the panel. Similarly no experts who are working in the same Department/College/University/ Institute of the Research Guide concerned be included in the panel.*
- 3. Not more than 4 teachers from one state be included in the panel. However, in subjects like Malayalam/Hindi/Sanskrit/Arabic/Urdu/Kannada this may not be insisted.*
- 4. Experts having less than 10 years teaching/research experience shall not be included in the panel.*
- 5. The Vice-Chancellor shall constitute a committee comprising three examiners from the panel provided by the supervising teacher, for the evaluation of the thesis.*

6. *The Vice Chancellor shall have power to modify the panel in consultation with Dean/Professor /Chairperson of the BOS of the subject concerned, if he is satisfied that the panel submitted by the Supervising Teacher is not sufficient for the purpose.*

6.6 The final thesis shall be adjudicated by a board of three examiners including at least one from outside the State, appointed for the purpose by the Vice Chancellor, from the panel submitted by the Supervising teacher. Among the three adjudicators one shall be appointed as the chairman of the board.

6.6.1 *Each adjudicator shall submit a detailed report on the merit of the research work and state whether it is recommended for the award of the Ph.D degree.*

6.6.2 *If one of the adjudicators does not recommend the thesis for the award of Ph.D, the thesis shall be referred to the Additional Adjudicator and his report shall be accepted. If two adjudicators do not recommend the thesis for award of degree, the candidate shall be asked to resubmit the thesis after a period of six months.*

6.6.3 *The candidates whose thesis has been recommended for the award of Ph.D degree by the adjudicators shall present his/her work in an "Open Defence" seminar chaired by one of the board of adjudicators and convened by the supervising teacher.*

6.6.4 *The report of the adjudicators along with proceedings of Open Defence shall be submitted to the Controller of Examinations by the Supervising teacher of the scholar. On the basis of this the Ph.D degree shall be awarded by the Syndicate of the University.*

6.7 If a candidate fails to submit the thesis within the stipulated time after submission of the abstract, he/she shall remit a fine fixed by the University, at the time of submission of the thesis.

6.8 The following documents shall be submitted along with the Ph.D thesis:

1. *Application in the prescribed format.*
2. *Copy of the registration order issued by the University.*
3. *Copy of the **Certificate issued by the University/Certificate for exemption with regard** to the preliminary qualifying examination.*
4. *Original chalan receipt for the remittance of fee prescribed by the University from time to time*
5. *No-dues certificates from the hostel, libraries and Department/Research Centres.*
6. *Copy of degrees certificate (P.G), M.Phil certificate and equivalency certificate if necessary.*
7. *Matriculation/Recognition certificates if necessary.*
8. *Declaration signed by the candidate that it has not previously formed the basis for the award of any degree, diploma, associateship, fellowship or title or recognition.*
9. *A certificate from the supervising teacher that the thesis is a bona fide research work carried out by the candidate under his supervision.*
10. *A certificate from the Supervising Teacher that the Journal in which the article published by the Scholar is a peer reviewed, University approved one and the attested copy of the article.*
11. *Attendance certificate in the prescribed format attested by the supervising teacher and the Head of the department/research centre.*

6.9 The candidates shall submit 4 hard copies and 2 soft copies of the thesis to the Controller of Examinations of the University along with the all the necessary enclosures.

6.9.1 *Copy of all enclosures (1 to 11) mentioned above shall be submitted to the Registrar of the University.*

7. Part- time registration.

7.1 Teachers of Affiliated Colleges/University Departments/Higher Secondary Schools, candidates appointed as Research Fellows or Research Assistants in Research Projects run in the University Departments/Affiliated Colleges/Research Institutes and Scientists working in the Research Institutes, Technical experts working in analytical laboratories, members of any statutory professional institutes approved by the Government of India, Permanent employees of Kannur University, Clinical Psychologists working in Govt. Medical Colleges and Govt. Hospitals, High School and DIET Teachers satisfying the eligibility criteria for admission as stated under 2.1 of the Regulations are eligible to apply for part-time registration for doing research and such candidates are to undergo six months regular compulsory Course Work.

*7.2 The Part-time research scholars **doing Ph.D** in the University Departments/ Research Centres shall attend the Departments/Research Centre for at least 60 days per year, **other than the period of Course Work.***

*7.3 The Rules and Regulations related to the assessment of progress of research, appearance in the Preliminary Qualifying Examination, procedure for thesis evaluation, conduct of Open Defence, viva-voce, etc., **for Part Time Research Scholars** shall be as specified under relevant clauses **of the revised Regulations** applicable to the candidates under Full-time Research stream.*

(APPENDIX-2)

KANNUR UNIVERSITY

Guidelines for the Ph.D.Programme as per the Revised Regulations for Ph.D.registration and Award of the degree of Doctor of Philosophy, implemented w.e.f.01-01-2011.

1.Eligibility:

- (i) The Candidate has to qualify the Entrance Test prescribed by the University, before Ph.D.registration.
- (ii)
 - a) Post Graduates with minimum * 55% marks (or equivalent grade) in the relevant discipline, from a recognized University are only eligible to apply for the Entrance Test.
 - b) For SC/ST candidates, the minimum marks required for applying for the Entrance Test is 50 % (or equivalent grade) in the P.G. examination.
- (iii) The application in the prescribed form for Entrance Test shall be submitted to the Registrar, Kannur University, on or before the last date mentioned in the Notification.
- (iv) The following categories are exempted from the Entrance Test:
 - a) *Approved Government/Aided Colleges Teachers and Teachers of University Teaching Departments.*
 - b) *Self Financing (Unaided) College teachers working in the Colleges affiliated to Kannur University with five years continuous teaching experience at the college level.*
 - c) *Those who have cleared JRF/Lectureship in the NET/GATE examinations conducted by such bodies as UGC, CSIR, ICAR and ICMR, and other similar institutions.*
 - d) *Candidates who have secured the Research Fellowship of State/Central Government funding agencies.*
 - e) *Candidates having M.Phil Degree in the subject concerned obtained from a recognized University, through regular mode.*

- f) *Those selected to Rajiv Gandhi National Fellowship Scheme (RGNFS).*
- g) *Regular Scientists/Social Scientists/Research Staff in the service of recognized scientific research centres, owned or funded by the state/central government, who have completed at least three years of service.*
- (v) A candidate must have applied for registration within one year from the date of publication of the result of the Entrance Examination, subject to availability of Research Guide. In the event of non availability of Research Guides, the validity of the Rank list shall be extended to two years.

*** RELAXATION OF MINIMUM MARKS:**

1. Regular Government/Aided College Teachers and Teachers of University Teaching Departments are eligible for 5% relaxation in the minimum marks required for Ph.D. admission.
2. SC/ST/physically challenged and OBC (Non Creamy Layer) candidates are eligible for applying for the Entrance Test prescribed for admission to Ph.D. programme, if they have secured 50% at their qualifying PG Examinations.

2. Entrance Examination:

- a) An **Admission Committee** consisting of the following shall be responsible for the conduct of the Entrance Test.
- (i) Registrar (convener)
 - (ii) Controller of Examinations
 - (iii) Three Senior Faculty Members, including one from a Research Centre of an affiliated college of the University, nominated by the Vice-Chancellor.
- b) Question papers for the written test based on the prescribed syllabus shall be prepared by the external experts in the subject concerned nominated by the Vice chancellor.
- c) The **maximum marks** for the entrance examination shall be **100** and consist of descriptive and objective type of questions. The duration of the entrance examination shall be **3 hours**. The date of entrance examination and publication of result shall be clearly mentioned in the notification inviting application for admission to the Ph.D. programme. Syllabus for the entrance examination shall be based on the PG syllabus concerned and based on the UGC/CSIR/NET/GATE Syllabus approved by the Vice-Chancellor.

d) Question Papers for the Entrance Examination shall consists of two parts

I. PART.A- 40 Marks(common for all subjects)

In this part Research Aptitude of the candidate shall be assessed. Hence questions shall be framed to test the Mathematical Ability, Logical Reasoning, Communicative Skill and Computer Awareness of the Candidate. All questions are of Objective Type (Multiple Choice Questions) of equal weightage for each component.

II. PART.B- 60 Marks

Questions shall be from the subject (P.G.) concerned, based on the UGC/ CSIR/ NET/ GATE Syllabus, approved by the Vice-Chancellor. Questions are of Objective & Descriptive modes of equal weightage.

e) Candidates who secure 50% marks and above in the entrance examination are eligible for registration for Ph.D programme. However, candidates belonging to SC/ST communities are eligible if they secure 35% marks in the entrance examination.

f) For those candidates who are exempted from the Entrance Examination, under Clause 1(iv), their percentage of marks in the P.G.Examination (100% weightage) may be considered for the preparation of the Rank List.

g) Based on the marks scored in the entrance examination and the qualifying examination (50% weightage for each) a rank list of candidates shall be prepared and published.

3. Registration:

(i) Registration to Course Work leading to Ph.D of the University is granted to candidates who are in the Rank list published by the University for that purpose, subject to availability of vacancies in the concerned discipline.

(ii) If SC/ST candidates included in the Published Rank list are not granted Ph.D. registration for want of vacancies, creation of additional Slot will be considered to accommodate such candidates.

- (iii) The Registrar shall issue orders granting registration for the Course Work leading to Ph.D degree.
- (iv) 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.
- (v) At the time of joining, the candidate has to pay prescribed fees and caution deposit fixed by the University.
- (vi) A recognized Research Guide can guide a maximum of 8 (eight) Research Scholars at a time, including Part-time and Full-time scholars of all the Universities, where he/she is a Research Guide.
- (vii) Candidates who were awarded Fellowship from various agencies may apply for Provisional Registration, in the context of lapsing of the fellowship, for not being registered for Ph.D.programme, during the period stated in the Fellowship Award Letter/Order. Such candidates have to successfully complete the Course work immediately, to make the provisional registration absolute.

4. Course Work and Preliminary Qualifying Examination (PQE):

- (i) Candidate registered for Course Work leading to Ph.D degree shall undergo a Course Work of six months duration and pass the Preliminary Qualifying Examination (PQE) within one year of getting registration.
- (ii) Course work shall be conducted at the University Departments, with the Head of the Department concerned as the Co-ordinator, utilizing the resources and expertise of all the Research Guides of that subject attached to the University. In the subjects not offered by the University, the University will identify the centres for the conduct of the course work with the Head of the Research centre as Co-ordinator. All the Research Guides in the subject concerned shall ensure their effective participation in the course work.
- (iii) The candidates qualified in the Course Work should submit the certificate in this regard to the Ph.D.Section of the University, before continuing their Ph.D.programme.

- (iv) After the completion of the Course Work the candidate shall submit the Synopsis of the proposed research work. This should be done in consultation with any of the Research Guides in the Department/Research Centres under whom he/she intends to do the research work.
- (v) The Synopsis of not less than 4 pages and not exceeding 10 pages will consist of (i) Title of the proposed research work, (ii) Statement of the problem (iii) Objectives of the study, (iv) Methodology (v) Review of literature (vi) Chapter Scheme, within a period of 30 days from the completion of the course work. The Synopsis (six copies) along with the application and the chalan receipt in original for the remittance of fee for the Ph.D. registration, fixed by the University from time to time shall be submitted to the Registrar of the University.
- (vi) There shall be a Departmental Doctoral Committee(DOC) consisting of (i) the Head of the Department, who shall be the Chairman of the Committee,(ii) Supervising teacher of the candidate and(iii) two Research Guides in the subject concerned nominated by the Vice-Chancellor. In the case of Research Centres other than University Departments one expert may be from the centre and the other from any of the approved Research Centers/Department nominated by the Vice-Chancellor. Three members shall constitute a quorum for the meeting and no business shall be transacted at a meeting of DOC at which supervising teacher is absent. If the Head of the Department is not a Research Guide, one of the Research Guides shall be the Chairman of the DOC.
- (vii) The candidate shall present the synopsis before the Doctoral Committee on a date and time fixed by the committee. If found necessary after discussion with the candidate, the Doctoral Committee shall suggest modifications in the programme. After modification, if any, the candidate shall submit the revised synopsis within a period fixed by the DOC, to the Chairman of the DOC, who shall forward the application to the Registrar of the University.

- (viii) A Research Scholar shall be assessed, based on the written assignment, presentation, and class tests during the period of Course Work. Maximum marks for Course Work shall be 200 and method of assessment shall be **internal**. Minimum required marks for the successful completion of the Course Work is 50%
- (ix) On successful completion of the Course Work and within one year after registration the scholar shall be permitted to appear for the PQE consisting of a written examination and dissertation on the research topic chosen by the scholar. The candidates have to submit the required application in the prescribed form accompanied by a chalan receipt for the PQE fee (Fixed by the University from time to time).PQE shall be conducted by the Controller of Examinations.
- (x) The Syllabus for the PQE shall be prepared by the Supervising Teacher of the research scholar and submitted at the beginning of the Ph.D.programme along with a Panel of at least 6 Experts in their field of specialization (with full postal address, phone number and e-mail-ID), to the Controller of Examinations.
- (xi) The answer scripts and dissertation shall be valued by an external expert nominated by the Vice Chancellor, from a panel consisting of at least 6 examiners submitted by the supervising teacher.
- (xii) The maximum marks for PQE shall be 300 and will consist of (i) two theory papers of three-hour duration each and 100 marks each (ii) dissertation and viva-voce with equal weightage (50 marks each). Of the two papers, one shall be methodology and the other shall be the paper in the subject area of research of the candidate.
- (xiii) For the successful completion of the course work and PQE the candidate has to secure a minimum of 50% marks or the equivalent grade. The qualified candidates shall be issued a memo by the Controller of Examinations, informing them the eligibility to continue his/her research work.
- (xiv) On the basis of the performance in the written examination and dissertation, a scholar is judged to have completed successfully the course work and the preliminary qualifying examination.
- (xv) M. Phil. Degree holders are exempted from the Course Work and Preliminary Qualifying Examination, provided their area of Doctoral Research falls within the

subject in which they have obtained their M.Phil. Degree. The Doctoral committee will examine this matter and recommend to take the final decision.

The procedure to be followed in the matter:

- a. *The M.Phil degree holders should submit the application for registration to Course Work leading to Ph.D.programme, in the format prescribed by the University, by remitting the fee (i.e, cost of application and fee for registration of the application) and within the time limit mentioned in the University Notification.*
- b. *They have to produce their M.Phil dissertation/synopsis of the M.Phil and 6 copies of the Synopsis of the proposed research under Kannur University, leading to Ph.D.degree together with an application for exemption from Course Work and with the processing fee prescribed by the University. The Application shall be addressed to the Registrar, Kannur University.*
- c. *The eligibility for exemption from the Course Work leading to Ph.D.programme shall be decided by the Doctoral Committee specially convened for considering the matter, within two months from the last date notified for submission of the application for registration to Course Work.*
- d. *If the Doctoral Committee after verifying the documents decides not to accept the application for exemption from the Course Work, the candidate should successfully complete the Course work and appear for the Preliminary Qualification along with other candidates.*
- e. *If the Doctoral Committee after verifying the documents submitted by the M.Phil degree holder recommends exemption to him/her from the Course Work and Preliminary Qualifying Examination, he/she has to submit formal application to the University for issuing the Certificate exempting him/her from the Course Work and Preliminary Qualifying Examination, by enclosing original chalan receipt for having remitted the fee prescribed by the University for the Preliminary Qualifying Examinations of the Ph.D.programme.*

- (xvi) On valid reasons the Vice-Chancellor can give extension of time for passing Course Work and PQE for **one year** and the syndicate can give extension for another one year. In both cases request of the candidate for the extension shall be recommended and forwarded by the Research Guide & Head of the Research centre for consideration. If a scholar fails in the Course Work and PQE even after this then the scholar has to re-register for the Ph.D programme, undergoing all processes specified earlier.
- (xvii) Course work is made mandatory to all Ph.D.programmes with effect from July 2009 session onwards as insisted by the UGC. Candidates, who have been granted Ph.D.registration in the University during the period between 11-07-2009 and 01-01-2011, may clear the Course Work Examinations taking three attempts. Such candidates have to apply for the admission to Course Work Examinations, in the format prescribed.
- (xviii) Candidates who had applied for Ph.D. registration before the University Notification inviting application for Course Work leading to Ph.D.programme as per the Revised Regulations effective from 01-01-2011 and granted Ph.D.registration after 01-01-2011,may complete the Course Work along with the candidates registered for Course Work beginning from January 2012, after submitting formal application for admission to Course Work Examinations.

5. **Submission of thesis:**

- (i) The Full-time/Part-time research scholars shall submit his/her thesis after a minimum period of three years and within a maximum of 5 years for full time scholars and 6 years for Part-time scholars from the date of registration.
- (ii) One year extension shall be granted **by the Vice-Chancellor** to both full-time and part-time scholars, on the recommendations of Doctoral Committee, if requested on reasonable grounds in the **prescribed** application form accompanied by a chalan receipt of remittance of an extension fee fixed by the University.

- (iii) Candidates who fail to submit the thesis even within extended period shall seek re-registration on the recommendations of the Doctoral Committee.
- (iv) A research scholar before submitting the thesis shall present a pre-submission seminar in the Department/Research Centre, which will be attended by the Members of the Doctoral Committee, other Faculty Members, Research Scholars and students. A copy of the proceedings of the Seminar, approved by the Research Guide and countersigned by the Head of the Department/Research Centre shall be submitted along with the application for evaluation of Ph.D thesis.
- (v) During the period of research, the scholar has to publish at least one research paper in a peer reviewed/refereed journal or an equivalent publication in the area of his/her topic of research. In those subjects where such journals are not available he/she may be permitted to publish the research paper in the journal approved by the University. A copy of the research paper/acceptance letter from the journal must be submitted along with the application for evaluation of the Ph.D thesis.
- (vi) The candidate shall submit ten copies of the abstract of the thesis, **signed by the Research Guide** through the Head of the Department/Research Centre, to the Controller of Examinations, one month prior to the submissions of the thesis.
- (vii) The supervising teacher shall forward the abstract along with a panel of at least 12 experts (with the name, designation and address, telephone numbers and e-mail address and a brief Bio-data) from academic institutions or academicians in research institutions.

While preparing the panel the following guidelines may be followed:

- (a) *The panel of examiners shall be prepared by the supervising teacher and forwarded to the University with the approval of the Doctoral Committee.*
- (b) *No teacher working in/retired from any of teaching or research centres of the University/affiliated colleges of the University be included in the panel.*
- (c) *Not more than 4 teachers from one state be included in the panel. However, in subjects like Malayalam/Hindi/Sanskrit/Arabic/Urdu/Kannada this may not be insisted.*

- (d) *Experts having less than 10 years teaching/research experience shall not be included in the panel.*
- (e) *The Vice-Chancellor shall constitute a committee comprising three examiners from the panel provided by the supervising teacher, for the evaluation of the thesis.*
- (f) *The Vice Chancellor shall have power to modify the panel in consultation with Dean/Professor /Chairperson of the BOS of the subject concerned, if he is satisfied that the panel submitted by the Supervising Teacher is not sufficient for the purpose.*
- (g) *The final thesis shall be adjudicated by a board of three examiners including one from outside the State, appointed for the purpose by the Vice Chancellor, from the panel submitted by the Supervising teacher. Among the three adjudicators one shall be appointed as the chairman of the board.*
- (h) *Each adjudicator shall submit a detailed report on the merit of the research work and state whether it is recommended for the award of the Ph.D degree.*
- (i) *If one of the adjudicators does not recommend the thesis for the award of Ph.D, the thesis shall be referred to the Additional Adjudicator and his report shall be accepted. If two adjudicators do not recommend the thesis for award of degree, the candidate shall be asked to resubmit the thesis after a period of six months.*
- (j) *The candidates whose thesis has been recommended for the award of Ph.D degree by the adjudicators shall present his/her work in an "Open Defence" seminar chaired by one of the board of adjudicators and convened by the supervising teacher.*
- (k) *The report of the adjudicators along with proceedings of Open Defence shall be submitted to the Controller of Examinations by the Supervising teacher of the scholar. On the basis of this the Ph.D degree shall be awarded by the Syndicate of the University.*
- (l) *If a candidate fails to submit the thesis within the stipulated time after submission of the abstract, he/she shall remit a fine fixed by the University, at the time of submission of the thesis.*

(m)The following documents shall be submitted along with the Ph.D thesis*:

- (i) Application in the prescribed format.*
- (ii) Copy of the registration order issued by the University.*
- (iii) Copy of the Certificate issued by the University/Certificate for exemption with regard to the preliminary qualifying examination.*
- (iv) Original chalan receipt for the remittance of fee prescribed by the University from time to time.*
- (v) No-dues certificates from the hostel, libraries and Department/Research Centres.*
- (vi) Copy of degree certificate (P.G),M.Phil certificate and equivalency certificate if necessary.*
- (vii) Matriculation/Recognition certificates if necessary.*
- (viii) Declaration signed by the candidate that it has not previously formed the basis for the award of any degree, diploma, associateship, fellowship or title or recognition.*
- (ix) A certificate from the supervising teacher that the thesis is a bona fide research work carried out by the candidate under his supervision.*
- (x) A certificate from the Supervising Teacher that the Journal in which the article published by the Scholar is a peer reviewed, University approved one and the attested copy of the article.*
- (xi) Attendance certificate in the prescribed format attested by the supervising teacher and the head of the department/research centre.*
- (xii) The candidates shall submit 4 hard copies and 2 soft copies of the thesis to the Controller of Examinations of the University along with the all the necessary enclosures.*

*Copy of all the enclosures shall be submitted to the Registrar of the University.

6. Part- time registration:

Teachers of Affiliated Colleges/University Departments/Higher Secondary Schools, candidates appointed as Research Fellows or Research Assistants in Research Projects run in the University Departments/Affiliated Colleges/Research Institutes and Scientists working in the Research Institutes, Technical experts working in analytical laboratories, members of any statutory professional institutes approved by the Government of India, Permanent employees of Kannur University, Clinical Psychologists working in Govt. Medical Colleges and Govt. Hospitals, High School and DIET Teachers satisfying the eligibility criteria for admission as stated under 2.1 of the Regulations are eligible to apply for part-time registration for doing research and such candidates are to undergo six months regular compulsory Course Work.

7. The Part-time research scholars **doing Ph.D** in the University Departments/Research Centres shall attend the Departments/Research Centre for at least 60 days per year, **other than the period of Course Work.**
8. The Rules and Regulations related to the assessment of progress of research, appearance in the Preliminary Qualifying Examination, procedure for thesis evaluation, conduct of Open Defence, viva-voce, etc., **for Part Time Research Scholars** shall be as specified under relevant clauses **of the revised Regulations** applicable to the candidates under Full-time Research stream.

**Sd/-
REGISTRAR**