

UNIVERSITY OF CALICUT
(Abstract)

Rules and Regulations for Research leading to Ph.D-2012 – Implementation – sanctioned – orders issued
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DIRECTORATE OF RESEARCH

No. DoR/B3/516/2005

Dated, Calicut University (P.O), 20-08-2012

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Read: (1) Meeting of the Research Council held on 09-02-2012
(2) Extract of the confirmed minutes of the Syndicate held on 29-06-2012, item No. 2012.597
(3) Extract of the confirmed minutes of the Syndicate held on 26-07-2012, item No. 2012.759
(4) Minutes of the meeting of the Standing Committee of the Academic Council held on 13-08-2012

ORDER

1. The Research Council, at its meeting held on 09-02-2012, as per the reference cited 1st above, discussed the Research Regulation 2012 and after incorporating the modification, approved the same and decided to place it before the Syndicate.

2. As per the discussions evolved in the meeting of the Syndicate held on 29-06-2012 referred 2nd above, certain modifications suggested by members were incorporated in the Research Regulation 2012 and the same was placed for implementation.

3. Later, consequent to detailed deliberation, it was resolved that the Research Regulation 2012 has to be placed before the supreme statutory body on academic matters; the Academic Council, vide reference 3rd above and the same was placed before the Standing Committee of Academic Council, considering the urgency of the matter, as Ph.D applications through entrance test have not been invited for more than 18 months.

4. The meeting of the Standing Committee of Academic Council held on 13-08-2012, vide paper read 4th above has considered the question of approval of the Research Regulation 2012 and resolved to approve the same, incorporating the modifications suggested by the members.

5. Considering the urgency and academic interest of research aspirants, sanction has been accorded by the Vice Chancellor by exercising the powers of the Academic Council for the implementation of the Research Regulation 2012 with effect from 16-08-2012 as per the appendix attached herewith.

6. Orders are issued accordingly

Sd/-
DEPUTY REGISTRAR (DoR)
For DIRECTOR

To

All HoDs/Research Centres

Copy to : PS to VC/PA to PVC/PA to Registrar/PA to FO/
PA to CE/SF/DF/FC

Forwarded/By Order

SECTION OFFICER

UNIVERSITY OF CALICUT

Rules & Regulations for Research leading to PhD

{ All cases registered before the date effectiveness of this rules and regulations will be governed by earlier rules. However, the mandatory requirements laid down by the UGC shall be fulfilled for obtaining the required endorsements in the Degree }

The University of Calicut offers research programmes in different subjects listed in Statutes of the University, and in inter-disciplinary areas leading to the Degree of Doctor of Philosophy. A candidate shall ordinarily work in a recognized place of research including the University Departments, Research Institutes and Affiliated Colleges recognized by the University. The rules regarding eligibility, entrance examination, interview, registration, supervision, submission and evaluation of thesis, viva-voce, defense of thesis etc. shall be as follows.

1. ELIGIBILITY

For admission to the Ph.D. programme in a related subject in the faculty, applicants fulfilling the following criteria shall be treated as eligible :

- a) Persons having passed Post Graduate Degree (Master Degree) Examination with at least 50% marks or equivalent Grade Point Average (GPA) of this University or an equivalent degree recognized by University of Calicut. Relaxation for minimum marks are applicable to reservation category students.

or

Persons working in National Laboratories- Institutes/Universities/Government/ Private Organization nominated/sponsored by the respective employer. These persons should have a Post Graduate Degree with 50% marks, and holding a permanent position there.

- b) Above-mentioned rules will also be applicable to the foreign candidates who have obtained a Masters Degree from the statutory Indian Universities or equivalent degree from abroad.
- c) Teachers of the Colleges, aided or government, affiliated to the University Secondary and Higher Secondary School Teachers. For teachers of this University and working in aided colleges affiliated to this University, 1.a, shall be relaxed.
- d) Application for research in inter-disciplinary areas and from applicants belonging to a faculty or subject other than the faculty or subject in which the research is proposed to be done and from the international candidates (those who have not obtained the Master's degree from Indian Universities) shall be considered on the basis of the proven ability and aptitude of the researcher for such kind of research. Such proposal shall be examined by the Guide and the Head, place of research and place before the Research Admission Committee for recommending for admission. The admission will be confirmed after the Research Admission Committee, approves the topic.
- e) Admission Percentage for foreign candidates (those who have not obtained Master's degree from Indian Universities) will be 50% or equivalent GPA.
- f) Candidates belonging to SC/ST category and those having 40% or more physical disability, require only a pass in the qualifying PG degree examination.

2. ENTRANCE TEST

- 2.1 Research Departments/ Approved research centres /Affiliated colleges may conduct entrance test as per the notification issued

- 2.2. All the candidates getting a minimum of 50% marks and in the case of SC/ST candidates a minimum of 45% marks, as the case may be, in the entrance test are qualified to apply for registration to Ph.D. Programme

2.3 Exemption from Entrance Test

- 2.3.1. Teachers of affiliated aided colleges under the University of Calicut, and teachers with FDP/QIP, etc., fellowships, and teachers of the University departments are exempted from the entrance test.
- 2.3.2. Candidates having research fellowships from Central or state funding agencies are also exempted from the entrance test. Qualified in GATE(valid score*) /GPAT (valid score*)/JRF/SRF examination of the apex bodies as such as CSIR/UGC/ICAR/ICMR/DBT and DST inspire fellowship only.
** the cut off score will be decided by the concerned Department Councils*
- 2.3.3 M. Phil. Degree successfully completed from any Statutory Recognized University in the relevant subject.
- 2.3.4 Foreign nationals who are otherwise eligible for admission
- 2.3.5. Full-time fellows, who have been selected on the basis of a written test and interview , working in a research project under the investigation of a research guide of the University.
- 2.3.6. These candidates (2.3.1 to 2.3.5) can apply for Ph.D. registration at any time during the academic year depending subject to the availability of guides.

2.4 Procedure for conduct of Entrance Examination

The entrance test will be normally conducted once a year for each department/discipline and list of successful candidates eligible for PhD registration, prepared on the basis of the test, has a validity of one year, from the date of publication of the same.

- 2.5 The list of successful candidates will be published by the head, place of research
- 2.5.1. A separate rank list for each subject, shall be published
- 2.6 If the particular discipline, doesn't have a university department/centre, the entrance test shall be conducted by the affiliated college/ recognized institution, by the directive of the University.

3. APPLICATION

- 3.1 The University will issue notifications for PhD admission at its teaching/research departments/centers/ recognized institutes/affiliated colleges every year.
- 3.2 Students who have been shortlisted after the entrance examination, or otherwise eligible, apply to the Department/Center/ Affiliated Colleges, directly, in the prescribed forms along with application fee for admission. Online registration for admission shall be effected in due course of time.
- 3.3 The application fee shall be remitted to the University Fund and the forms will be issued by the University.
- 3.4 Those who are exempted from entrance test can seek admission any time in an year, in the proscribed format.
- 3.5 However, no exemption from paying fee, except in the case of Reserved categories shall be entertained.

4. REGISTRATION

- 4.1 The University admits eligible candidates for PhD on the basis of the ranking in the Entrance Examination, for pursuing research on full time or part-time basis, under the supervision of recognized guides in designated centers.
- 4.2 The qualified candidate may contact the teaching/research department/centre/ recognized institutes/affiliated college, where he/she prefers to pursue the PhD

course, and seek the availability and willingness of the research guide who is competent in the area in which he/she is willing to do research and work with him/her to develop a research proposal

- 4.2.1. The candidate shall submit a duly filled up application, along with the fee prescribed, for Ph.D. registration in the prescribed format along with the research proposal so developed as in 4.1, and submit it to the Head, place of the research.
- 4.2.2. The research proposal shall not exceed 10 pages in length excluding the title page or cover page.
- 4.2.3. The research proposal should have the following structure:
 - a) Title
 - b) Introduction
 - c) Research Problem
 - d) Objectives
 - e) Conceptual Model/Review of Literature
 - f) Research Methodology
 - g) Expected outcome and relevance of the study
 - h) Bibliography
- 4.3 Every person, if he/she is otherwise eligible and qualifies as per above conditions and desirous of doing research work for the Ph. D degree should face the interview before a committee constituted as below.
- 4.4 On the basis of interview, the allocation of the Research Guide for a selected candidate shall be decided by the Department/Centre/ Institution/ Affiliated College, in a formal manner depending on the number of candidates per faculty member, the available specialization among the Research Guides and the research interest of the candidates as indicated during interview by the candidate. The allotment/allocation of Research Guide shall not be left to the individual candidate or Guide. Guide wise quota will be declared. Reservation criteria shall be observed at the time of allotment.
 - 4.4.1. While granting admission to candidates to Ph.D. programmes, the Research Center will pay due attention to the State Reservation Policy.
 - 4.4.2. Foreign candidates will be treated at par with Open Category for admission.
- 4.5 Head of the research centre shall forward the proceedings of the committee after interview along with the application and list of all eligible candidates for admission for research in that subject, in the centre to the University, within 7 days. All records related to admission procedures shall be kept in the Department/ Center/ College.
- 4.6 Based on the list and applications received from the Department/Research centres concerned, the University shall issue orders granting registration.
 - 4.6.1. Registration to full-time and part-time Ph.D. programme may be granted to candidates who apply for it.
- 4.7 The date of registration to Ph.D. shall be the date on which the candidate actually joins the research department / centre. At the time of joining, the candidate has to pay the necessary fee, caution deposit etc, and complete other formalities in the department/ research centre/ college.

4.8 Provisional Registration

Under circumstances where a candidate seeks a quick registration to avail of a fellowship or FIP for college teachers, arranging VISA in the case of foreign candidates ,etc., a provisional registration may be granted, provided, the Vice Chancellor is convinced that the situation so warrants.

4.9 Validity of Registration

- 4.9.1 The registration to Ph.D. programme shall be active from the date of joining the research department or centre for a period of five years for full-time Ph.D. candidates and six years for part-time Ph.D. candidates
- 4.9.2 After the completion of the active period, the registration order may become invalid. A research scholar with an invalid registration ceases to be a

research scholar.

- 4.9.3 The Vice Chancellor may give an extension by one more year in exceptional circumstances for the completion of the research work and submission of thesis
- 4.9.4. The candidate shall apply for extension before the expiry of the validity period
- 4.9.5. No further extension of time beyond the additional one year period granted shall be allowed under any circumstances.
- 4.10. Research scholars can avail the facilities of the centre, until the period of registration is valid.
- 4.10.1. No claim for extension of facilities which are received on the basis of being a research scholar of the University shall be made after the expiry of the validity period of registration.
- 4.11. Proof of attendance of the full time/par-time research scholars shall be maintained at the office of the Head, place of research.
- 4.12. Registered candidates are eligible for Casual leave/Duty leave/ medical/maternity/paternity leaves as per the orders issued by the university, in this respect.
- 4.13. Registered candidates shall not be allowed to register simultaneously for any other degree course.
- 4.14. As a general rule, a candidate will be permitted to register for a PhD programme, in a discipline, in which he/she has qualifying degree. In case a candidate applies for a Ph D programme, other than his/her Masters subject, registration may be granted on the specific decision of the Research Admissions Committee.

4.15. Part-time/ Full-time Research

- 4.15.1. Registration may be granted to all resident scholars on full time basis and to employed persons on part-time basis.
- 4.15.2. Teachers of colleges and Schools, and permanent employees of ` government/private/business firms who are eligible for Ph.D admission, may be granted part-time registration.
- 4.15.3. A full-time registration may be converted to part-time , after the completion of one year, or when the candidate declared successfully completed the course work.
- 4.15.4 After three years in full-time, if the candidate wishes to convert the registration into part-time, the time duration of thesis shall be reckoned with that of full-time registration.

5. Research Fellowship

- 5.1 The University fellowships shall be awarded to full-time scholars on the basis of merit and keeping the norms of reservation. A valid registration for PhD course in the University does not warrant that the candidate is eligible for University fellowship for research studies.
- 5.2 The University reserves the right for regulating amount of the fellowships or terminating it at any time, if found non-productive or misused, based on the Progress Evaluation Committee report.
- 5.3 Application for award of research fellowships shall be submitted separately in the prescribed format once the candidate joins for research study after getting registration.
- 5.4 Candidates who have been awarded research fellowship/ grant from other external funding agencies can avail the same through the University, subject to the

conditions of the funding agency.

- 5.5 The period of University fellowship will be decided by the University and for others, the funding agency shall specify.
- 5.6 The Departments/ Centers/ Colleges may invite external agencies for instituting research fellowships with the approval of the University.

6. Research Admissions Committee & Functions

- 6.1 The committee shall be consisted of:
 - a) Admission at University Departments.**
 - 1) HOD (Chairman)
 - 2) Dean of the Faculty
 - 3) Three subject Experts (Two from Department, nominated by the Department Council; and another from outside to be nominated by the Vice-Chancellor)
 - b) Admission at Research Centres at Colleges**
 - 1) Principal (Chairman)
 - 2) Three experts (one Faculty member from the University Department/and two senior research guides from the College, to be nominated by the Principal)
 - 3) One person nominated by the Vice-Chancellor
 - c) Admission at Recognized Research Institutions**
 - 1) Director (Chairman)
 - 2) Dean of the concerned Faculty
 - 3) One head of the University Department, nominated by Director
 - 4) Two subject experts nominated by the Director
 - 5) One faculty member, from University Departments nominated by Hon' ble Vice- Chancellor.
- 6.2 The research guide/supervisor of the candidate, if already not a member of the above, Committee, he/she shall also join the Committee meeting while evaluating the research proposal of the candidate who seeks his/her guidance.
- 6.3 The Chairman shall convene the Admissions Committee as and when necessary and be responsible for keeping the proceedings and documents related to the admission.
- 6.4 The Research Admissions Committee shall examine carefully the documents presented by the candidate, and adhere strictly to the norms and policies of the State related to reservation, and regulations of the University.
- 6.5 In case of any suggestions given by the committee for improvement of topic, the candidate shall make changes accordingly and present the topic again before the said committee within 3 months of the earlier presentation.
- 6.6 After successful presentation, the proposal shall be sent by the Head, place of research within 15 days from the date of presentation to the university office.
- 6.7 In case of any dispute regarding the admission procedure, the matter may be referred to the Vice-Chancellor, and the Vice- Chancellor will take appropriate decision.

7. COURSE WORK

- 7.1. A Ph.D. research scholar shall undergo a course work of one-semester duration, which include compulsory class room teaching, seminar and assignment.
- 7.2. Course work lasting one semester has to be done before the end of a period of 12 months from the date of registration for Ph.D. programme.
- 7.3. The course work shall have two courses with four credits each

- 7.4. A research scholar can do his/her course work along with M.Phil candidates if the supervisor recommends it.
- 7.4.1. A full-time project fellow, who got registration to do PhD together with the project may be permitted to take the course simultaneously.
- 7.5. One course shall be in the Area of specialization chosen for research and the other course shall be on Research Methodology which include research methodology, quantitative methods, computer application, tools and techniques including instrumentation, communication, seminar presentation and review of research literature
- 7.6. The supervisor of each research scholar shall design the syllabus or syllabi of the course from the area of Specialization.
- 7.7. In the case of common course, Research Methodology, the syllabus may be designed by a committee appointed by the Department Council /centre and shall be approved by the Departmental Council. If the University has no research departments in that subject of study, the University will entrust the drafting of the course to any of its existing departments.
- 7.8 The PG Board of Studies in the subject shall ratify the Department Council decision regarding the course work and approve the syllabi and mode of learning and evaluation.
- 7.9 The students from the research department of University of Calicut or the affiliated research centers/Colleges can do their course work at their respective centres or any of the Research Institutions which have signed MoU for Ph.D programme with the University.
- 7.10 University will conduct regular examinations related to course work, and publish the results after evaluation and issue certificate to the candidate, showing that he/she has passed/ failed the exam with the scores.
- 7.10.1. The request for conducting course work examination shall be forwarded to the CE, along with the approved syllabi, Attendance-Progress Certificate, and a panel of examinations. At least 70% attendance is required for appearing the examinations. The head, place of research should forward the necessary documents and application of candidate for the examination.
7. 11. If the research scholar fulfills the requirements of the course work and successfully completes the course work as above, he/she will become qualified for submission of his/her research thesis for PhD degree.
- 7.12. The research scholar may be given a maximum extension of one year for successful completion of the course work subject to the overall limit of three chances for examinations in the two courses .
- 7.12.1. If a candidate clears one paper but fails in the other, he/she may be permitted to appear the failed paper only in the next chance.
- 7.13. The teaching schedule involved in the course work shall not be reckoned at part with the teaching load of other courses of the University in affiliated colleges.
- 7.14. The candidates who have done M.Phil from any Statutory University and having been done a course on Research Methodology during the course, shall be be exempted from the course work.
- 7.15. Those who have an M Phil degree in the relevant subject, but without done a course in research methodology during the programme, shall be exempted from course work, if the candidate successfully clears a separate examination, conducted by the university.
- 7.16.**

8. SUPERVISION

A. GUIDE

- 8.1. Normally a candidate shall be required to complete his/her doctoral research under the supervision of the guide recommended by the committee for admission.
 - 8.1.1. University may allow change of guide on the production of a 'no objection' certificate from the first guide and an acceptance letter from the new guide.
 - 8.1.2. In case of such a change, the candidate shall work for a minimum period of one calendar year under the new guide before he/she submits the thesis.
 - 8.1.3. A 'no objection' certificate will not be required if the candidate justifies the non-availability of his guide. The justification will have to be endorsed by the Head, place of research.
 - 8.1.4. A candidate can seek to opt one or more co-guides for the completion of his/her Ph.D, from the centre or any of the center approved by the University, during the course of study.
- 8.2. At any given time a guide shall not have more than eight registered Ph.D. candidates and two M.Phil candidates working under his/her supervision. At least two seats may be given to JRF/CSIR/ etc, fellowship candidates, if available, under each guide. Also, 2 seats per guide may preferably be allotted to part-time scholars. In the absence of par-time scholars, it may be given to full time candidates.
- 8.3. The University encourages interdisciplinary research in a wider perspective and shall consider approval of the topic of research and selection of guides in case of inter-disciplinary subjects
- 8.4. In case of any dispute between a candidate and his guide, or with the research center the committee consisting of the following shall examine the matter and report to the Vice- Chancellor, whose decision shall be final. The candidate shall therefore lodge the complaint with the Vice-Chancellor
 - 8.4.1. The Head, place of research [If the complaint is against the Head, he / she shall not participate in the proceedings of the meeting. In such case, additional member/s may be appointed by the Vice - Chancellor].
 - 8.4.2. Dean of the faculty concerned
 - 8.4.3. Nominee of the Vice-Chancellor,
 - 8.4.4. The report shall include, among other things, specific recommendations. and shall be submitted to the Vice-chancellor.

B. PROGRESS

- 8.5. All the registered candidates shall be required to submit to the Head, place of research, an elaborate progress report, through their research guides, about the research work they have done in every six months.
- 8.6. The progress reports submitted shall be placed before a Progress Evaluation Committee consisting of
 - [a] the Head, place of research
 - [b] the research guide, and
 - [c] two research guides co-opted by the Head, place of research from amongst recognized research guides of the University.The committee shall scrutinize the progress reports and prepare a brief statement on the progress of the candidate and send to the University within 15 days of the meeting of the committee. The committee should invite the candidate to present the progress of his/her research work. The committee may suggest the continuation/discontinuation of the University Research Fellowship, on the basis of their assessment with specific reasons.

- 8.7. If a candidate fails to submit three reports consecutively, his/her registration may be treated as cancelled on recommendation of Head, place of research.
- 8.8. During the period of research, a full-time scholar can avail leave of absence from his/her centre for a maximum period of 9 months, for data collection/ analytical study/consultation with external experts. The candidate shall submit the progress report, under such cases of leave of absence from the center, immediately after joining back the institution.
 - 8.8.1. All kinds of leaves to the Research Scholar may be granted by the Head, Place of Research and report the same to the University, without delay.
 - 8.8.2. The Head, place of research shall keep an attendance register, of all the research scholars.

C. PUBLICATION

- 8.9. Every research scholar should publish at least one research paper in peer reviewed national/ International Journal in the area of his/ her research before the date of submission of his or her thesis to the University.
- 8.10. Publication of research findings in peer reviewed journal is treated as a compulsory accomplishment for the submission of the thesis.

9. Submission and Evaluation of Thesis

D. SUBMISSION OF THESIS

- 9.1. The submission of thesis may be permitted only after completion of three years from the date of registration and on successful completion of Course Work. Prior to the submission of the thesis, the candidate shall submit a synopsis of the thesis. The synopsis shall contain introduction, chapter wise brief account of the work done.
 - 9.1.1. The synopsis shall accompany *List of Evaluators*, not less than 10, submitted by the Guide and forwarded by the Head, place of research in sealed cover.
 - 9.1.2. Preferably, the examiners shall be chosen from various states and from various universities/ institutes.
 - 9.1.3. For Indian language subjects, this selection, however, may not be strictly be followed.
 - 9.1.4. The Vice Chancellor, can reject the panel list, if the list is found prepared with false intentions and not according to the above directives of the University.
 - 9.1.5. At least 12 copies of the, neatly printed and properly tagged copies synopsis may be submitted, along with a soft copy as a pdf file.. Avoid hard binding of the synopsis
 - 9.1.6. The size shall not exceed 12 pages and or 100Mb
 - 9.1.7. The synopsis shall also accompany, application form, certificate of course work or equivalent M Phil certificate. the proof of publication, report of presubmission seminar , no dues certificate, and the statement of fee paid to the university, and chalan receipt of the final fee payments.
- 9.2. The thesis can be submitted any time after the of submission of synopsis, but not beyond three months.
- 9.3. At least three months before the date of submission of the thesis each candidate shall give a pre- submission seminar to be arranged by the Head of the place of research at the research centre on the request of the candidate duly endorsed by the guide. The final plan of the thesis will be discussed by the research scholars present, among whom the presence of the research guides and the Head, place of research or his/her nominee shall be necessary.
- 9.4. If the candidate fails to submit his/her thesis after the completion of normal period of three months the candidate will be allowed to submit with late fee up to a

- further period of three months, but beyond which no further extension will be permitted.
- 9.5 . On exceptional cases, upon recommendation of Guide, Head of place of research and Dean of Faculty, the Vice Chancellor may permit the submission of thesis even before three years duration.
 - 9.6 . The final thesis (5 Copies) shall be submitted in compact bound form along with a soft copy (CD) with each chapters in pdf.
 - 9.7. The final thesis shall be presented in accordance with the following specifications
 - 9.7.1. The thesis should be logically divided into meaningful chapters for readability.
 - 9.7.2. The methodology should be adequately described in the initial chapters
 - 9.7.3. Literature review should relate to the problem studied.
 - 9.7.4. The chapter may be divided into sections
 - 9.7.5. Summary of the study, findings from the study (based on the data collected/compiled and analyzed for the study), and recommendations, if any, shall be included
 - 9.7.6. Bibliography, Appendix etc. shall follow the last chapter.
 - 9.7.7. The title of the thesis, name of the candidate, degree, name of the guide, place of research and the month and year of submission shall be printed on the title page and on the front cover.
 - 9.8 . The following documents shall also be included in the Ph.D thesis.
 - 9.8.1. A declaration signed by the research scholar that it has not previously formed the basis for the award of any degree, diploma, associate ship, fellowship or title or recognition.
 - 9.8.2. A certificate from the supervising teacher certifying that the thesis is a bona fide account of the research work carried out by the research scholar under his or her supervision.
 - 9.9 The thesis shall be written in English except on cases, when related to Modern European or Indian or other languages.
 - 9.10. The title of the thesis may be modified once in a research period, with the recommendation of the guide, and on payment of the necessary fee. Such modifications shall be entertained prior to synopsis submission only.

E. APPOINTMENT OF EXAMINERS

- 9.11. The procedure for the appointment of examiners shall be undertaken soon after the candidate submits his/her synopsis. The University shall make arrangements to complete the valuation of the thesis within 90 days from the date of receipt of the thesis, under normal circumstances.
- 9.12. The thesis should be sent to two examiners, selected by the Vice- Chancellor from among the list submitted by the research supervisor.
 - 9.12.1. The Vice chancellor, shall constitute , a panel of examiners not less than five by indicating the choice of order of preference from among the members in the list, with the first person as the Chairperson
 - 9.12.2. The panel of examiners will be selected for protecting the academic interests and to obtain an impartial, un-biased, adjudication of the thesis.
 - 9.12.3. In the panel at least one member shall be from outside State. However, for disciplines like Indian Languages, were it is difficult to locate such experts, this rule shall not be strictly observed.
 - 9.12.4. All the two persons, in the panel may be intimated either by post or by email/fax about their nomination along with a copy of the synopsis and a request

for valuation suggesting to adhere he time limit.

9.12.5. If the first person, declines to be the Chairman, the nomination shall fall on to the second and so on.

9.12.6. If all the five in the panel declines to accept, the Vice chancellor shall constitute a second panel from the list

F. EVALUATION

9.13. The examiners may be given 45 days for evaluating and sending a report on the basis of the evaluation to the University,

9.14. The reports sent by fax or e-mail by using the 'postscript' package will be accepted.

9.15. If an examiner fails to do so, the University shall send him/her a reminder immediately after the expiry of the said period with a request to submit the report within thirty days. If the examiner fails to comply even within the extended period the University shall cancel his appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis.

9.16. In the event of, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc. the University will take an appropriate decision in the interest of the candidate concerned.

9.17. If all the two reports are found positive, reports received from the external examiners shall be immediately forwarded to the Head, place of research who, after ascertaining that the reports are favourable, shall arrange the viva and the defense of the thesis at the earliest date suitable to the chairperson.

9.18. The Head shall make the reports available to the candidate, the research guide and the chairperson at least a week before the date of the viva.

9.19. In case one out of two examiners give unfavourable reports then University shall seek thesis examined by another examiner from the panel of examiners approved by the Vice Chancellor. If the additional examiner also gives an unfavourable report the candidate will be declared to have failed.

G. OPEN DEFENCE OF THE THESIS

9.20. Finally, the candidate has to face an open defense of his/her thesis for the successful completion of PhD study.

9.21. The defense of the thesis shall take place in the presence of guide, and external examiner as the chairperson.

9.22. If the external examiner is not able to be present at the time of open defense, the Vice- Chancellor, on the recommendation of the guide appoint a senior research guide to act as Chairman to conduct the same. The day, date, time and the place of the defense of thesis shall be notified by the Head of the place of research at least seven days in advance. Normally, the the defense of the thesis shall be arranged in the University Department. But on exceptional cases, the Vice-Chancellor may allow the defense to be conducted at a place of research outside the University campus. In such a case the procedure of conduct of the defense, and the payments to the examiner shall be the responsibility of the outstation centre concerned.

9.23. The open defense shall be conducted in an audience of the public who are genuinely interested in the subject of study and wants to explore facts related to the research. Letter of intimation of the open defense shall be communicated to a large number of potential participants (at least 50 people outside the research department or centre) and a record of such invitations sent and the details of participants who attended the open defense should also be

maintained.

- 9.24. In addition to the teachers/scientists, the research scholars and the students of the Department/Research Centre concerned, and all those who are interested in the field shall be allowed to attend the open defense.
- 9.25. The candidate shall be permitted for presentation of the work, at the beginning.
- 9.26. On completion of the presentation, the candidate is expected to clarify the doubts/queries raised by the examiners during their evaluation and mentioned in the report, if any, or by the Chairman.
- 9.27. The participants can seek clarifications or suggest comments initiating a healthy discussion aimed at elucidating the facts and sharing of knowledge. If the participants are deliberately intimidating the candidate or using abusive statements the Chairman shall interfere and regulate by ruling.
- 9.28. The open interaction between the research scholar and the participants in the open defense shall in no way affect the outcome of the result.
- 9.29. The Chairman can also intervene any time during the open defense and control the session, protecting the merits of the findings and the genuine interest of the researcher.
- 9.30. A report shall be prepared by the Chairman in consultation with the Supervising Teacher based on the performance of the research scholar in the presentation, viva-voce and open defense. The report shall be signed by the external expert and supervising teacher. and send to the University within three days of the open defense.
- 9.31. In case the open defense is not satisfactory, the examiners may unanimously recommend, with reasons, for a fresh defense of the thesis within, one month.

10. RECOGNITION OF RESEARCH CENTER

- 10.1. All teaching/research departments/centers of the University are deemed to be research centers of this University.
- 10.2. Central and State funded Research Institutions, may be recognized as research Center of the University of Calicut based on mutual agreements and upon a request
- 10.3. There shall be a Research Recognition Committee for each subject with the following members
 - 1) Director of Research
 - 2) One subject Experts to be nominated by the Vice-Chancellor
 - 3) One member of the syndicate, nominated by Hon'ble Vice-Chancellor as Chairman
- 10.4. Affiliated Colleges of the University of Calicut may be recognized as research centers if they meet the following necessary requirements.
 - 10.4.1. The college which is seeking recognition in a subject shall have a permanently affiliated post graduate department in that subject and have been offering PG Programme for more than 3 years
 - 10.4.2. There must be at least two permanent teachers with Ph.D. degree in the subject in that department
 - 10.4.3. The faculty should demonstrate that they are actively involved in research by way of their publications/projects/collaborations
 - 10.4.4. The departments/centre should have adequate infra structure and literature in that subject of study.
 - 10.4.5. The institutions should provide sufficient facilities to the researchers and scholars and a undertaking in this regard shall be given to to the university

- 10.4.6. Once the Department / Institution is recognized as a research centre, it is imperative that the centre is actively involved in relevant research.
- 10.5 . The effectiveness of the research centre may be assessed, once in every five years, by the Research Recognition Committee
- 10.6 . Recognition given to any research centre can be withdrawn if the expert committee gives a report stating that the centre is not discharging its responsibilities satisfactorily or the conditions for granting recognition as a research centre are violated
- 10.7. However, the research scholars who have registered for PhD under the research guides of the de-recognized research centre shall be allowed to submit their thesis in due course of time subject to the validity period of registration.
- 10.8. Once the affiliation is lost as above, the research centre should start afresh for recognition as research centre.
- 10.9. Permanent affiliation may be granted if the centre has been found performing satisfactorily in two consecutive inspections

11. RECOGNITION OF RESEARCH GUIDES

- 11.1. All scholars who have been contributing to the knowledge in their respective subjects who have proven their credibility as active researcher may be recognized as research guides, provided they fulfill the following criteria.
- 11.2. The candidate shall be a permanent staff member belongs to teaching/research department University Department/ Center/ Affiliated Colleges, or a scientist/technical staff in a research establishment having a Ph D Degree recognized by the University.
- 11.3. The candidate should have at least two recent research publications in peer reviewed journals after the award of PhD, and within a period of four years, while requesting for guide-ship.
- 11.4 . A recognized guide can take a maximum of eight research scholars for Ph.D. programme, part-time and full-time together.
- 11.5. Policies of reservation, shall be adhered while admitting the candidates for research under a research guide.
- 11.6. Research guide ship once granted may be withdrawn by the University, if he/she violates the ethical practices of research or seems unfit due to proven reason. Otherwise the guide ship can be continued even after his/her retirement from active service, provided, the research centre, where the researcher is affiliated shall be willing to extend their facilities for his/her research.
- 11.7. For teaching/ research departments of the university of Calicut, a teacher appointed as Lecturer/ Reader or Assistant//Associate/Professor on a permanent basis may be granted recognition, with effect from his date of joining the department/centre.
- 11.8. A researcher who wants to be recognized as a research guide of the university shall apply for research guideship in the prescribed forms to the University
- 11.9. If the student under a guide fails to submit his/her thesis, within the stipulated time, the position of the student shall be treated as vacant, and the guide can admit fresh candidates for research

12. CO-GUIDE AND GUIDE CHANGE

- 12.1. A research scholar can opt for a co-guide for his/her research study.
- 12.1.1. If the research scholar does Ph.D. with a recognized research institution covered by an MOU with the University. In that case, one of the guides

may be from the teaching department of the University and the other from that recognized research institution

- 12.1.2. The research scholar should apply for a co-guide at the time of registration or later during the course with the required fee
- 12.1.3. One more Co-guide may be permitted later with the consent of both the guides on the request of the research scholar.
- 12.2. Guide change will be permitted under the following circumstances for research scholars doing doctoral research in the research departments or centres:
 - 12.2.1. The supervisor is not available for consultation for a considerable period of time, exceeding six months, as the supervisor is on long leave or deceased
 - 12.2.2. If the supervisor is disqualified by the university.
 - 12.2.3. If the guide ceases to be an employee of the centre and joins elsewhere.
 - 12.2.4. Such guide change is subject to the maximum number of researchers permitted under a guide, that is, not exceeding eight research scholars
 - 12.2.5. Guide change between research centres or between university departments and colleges shall not be permitted. However, if a research guide in a research centre gets another appointment in any of the teaching departments of the University or any other research centre recognized by the University, the research scholars working under him/her can be shifted to the teaching department of the University or the research centre where he/she got appointment as teacher or scientist., provided the Department center/ College is willing to admit the student.

13. COLLABORATION FOR RESEARCH

- 13.1. Any teaching department can enter into an agreement with an outside research institution or an approved research centre for carrying out collaborative research.
- 13.2. A memorandum of understanding (MOU) shall be signed between the University and the proposed Research Institution for that purpose
- 13.3. The teaching department shall take the initiative for such strategic alliances with research institutions with the permission of the University
- 13.4. Such collaboration shall be entered into only with institutions of high reputation which will enhance the image of the University and gives the researchers of the University access to resources and facilities that are not adequately available on the University campus
- 13.5 For entertaining into MoU with international bodies permission may be taken from the respective departments/Ministry of the Country.

14. RESEARCH OUTCOME

- 14.1. The University, in principle, shall be the holder of the title right of the research outcome generated as a result of the research done at the departments/ centers/ Colleges by the researchers
- 14.2. Every researcher shall therefore duly acknowledge, the center where the research is carried out and the name of University of Calicut, in the publications/ patents, generated as a result of his/ her research under the university
- 14.3. The researcher/s alone shall be responsible for the outcome of his/her research which involves an insult against a society, demoralization of the cultural values of a society, creating fear or panic thereby disrupts peace, or violating the laws of the country, and jeopardizing the integrity of the country.
- 14.4. All the rules laid down earlier by the University, related to patents and sharing of

- its royalty/benefits shall be applicable.
15. D.Litt/DSc and Honorary Research Degrees
 - 15.1. The rules/guidelines framed in the statutes shall be invoked for awarding D Litt/ DSc/DLM /Honorary degrees.

16. DEFINITIONS

- 16.1. Wherever it is applicable in the above clauses the terms mentioned as the respective meanings as ;
 - 1]. University – University of Calicut, if not otherwise mentioned.
 - 2]. Head, place of research – Head of the Department in the university/ Principal of a college affiliated to the university/ Director of a research institute with which the university has a valid MoU for research.
 - 3]. Research admission committee – constituted for supervising research admission procedure and recommending for registration.
 - 4]. Entrance Test- a written test conducted for deciding the eligibility of a candidate for research admission.
 - 5]. Research centre- A place for doing research ; a department of the university, a department in a affiliated college which has been recognized by the university or an institute which has been entered into an agreement with the university through an MoU for research studies.
17. At least in the teaching/research departments of the University, all members of the Research Admission Committee and Progress Evaluation Committee shall be recognized research guides. Under any circumstances, if person without such a qualification happens to be in the committee by virtue of his office, the Vice chancellor may nominate another person to the said committee
18. Any other item significant to research in this University, and has not appeared under the above clauses, may be ruled by the decision of the Vice- Chancellor.