



UNIVERSITY OF CALICUT

Abstract

Directorate of Research - Resolutions of the Academic Council meeting held on 06.02.2024 vide Item No. I.1 to approve the minutes of the meeting of the Research Council held on 11.12.2023 - implemented - orders issued.

Directorate of Research

U.O.No. 3098/2024/Admn

Dated, Calicut University.P.O, 22.02.2024

- Read:-*1. Minutes of the meeting of the Research Council held on 11.12.2023
2. U.O. No. 1017/2024/Admn dated 19.01.2024
3. Minutes of the meeting of the Academic Council held on 06.02.2024, vide item I.1
4. Orders of the Vice Chancellor in the file of even number dated 22.02.2024

ORDER

As per the reference cited 1st, the Research Council at its meeting held on 11.12.2023 considered the following items placed by various Sections of the Directorate of Research and the resolved as follows.

Item No. 1: To consider the Draft Calicut University Research Regulations 2023 prepared by the Directorate of Research in accordance with the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations 2022 (Note No. 88179/RESEARCH-D-ASST-1/2022/Admn (II) dated 23.11.2023).

Resolution: The Research Council approved the Draft University of Calicut Research Regulations 2023, which was prepared in accordance with the UGC (Minimum Standards and Procedure for Awards of M.Phil. or Ph.D. Degree) Regulations 2022, with the modifications suggested in the meeting. The meeting also decided to forward, by email, the modified Draft Research Regulations 2023 to all the Research Council members and give them 10 days to read and suggest modifications before the final approval by the Vice Chancellor. The following modifications related to the Research Regulations 2023 have been approved:

- a) The Research Council decided to grant recognition to self-financing colleges and departments as research centres and eligible faculty as research guides upon fulfilment of all the criteria in Clause 10.4 of the Research Regulations 2023.
- b) Decided to include Emeritus Professors as eligible for recognition as research guides of the University, subject to fulfilment of all other criteria.
- c) Decided to include librarians working in government and aided colleges as eligible for admission to a part-time Ph.D., subject to fulfilment of all other criteria.
- d) Decided to change the terminology of 'co-guide' to 'joint-guide' in the Research Regulations

2023 and to include a sentence as follows: The weightage for joint guidance will be equally divided between the supervisors.

Item No. 2: To consider the implementation of University Grants Commission (Academic collaboration between Indian and foreign higher educational institutions to offer Twinning, Joint Degree, and Dual Degree programmes) Regulations 2022 in the University of Calicut (Note No. 88179/RESEARCH-D-ASST-1/2022/Admn (I) 23.11.2023).

Resolution: The Research Council decided to implement the UGC (Academic Collaboration between Indian and Foreign Higher Educational Institutions to Offer Twinning, Joint Degree, and Dual Degree Programmes) Regulations, 2022, at the University of Calicut. The clauses related to the Joint Degree Programme of the above Regulations have been included in the Draft University of Calicut Research Regulations 2023.

Item No. 3: To consider the matter of conducting the PQE examination and its evaluation in the internal mode. (i) To consider Item No. 1.9 of the minutes of the meeting of the Academic Council, which referred back Item No. 8 of the minutes of the Research Council meeting held on 05.11.2023 to the Research Council. (Note No. 88179/RESEARCH-D-ASST-1/2022/Admn dated 23.11.2023). (ii) To consider the proposal for conducting the Ph.D. preliminary qualifying examination entirely as an internal examination at the respective research departments/centres (Note No. 19748/RESEARCH-C-ASST-3/2019/Admn 29.04.2023). (iii) To consider the modalities of internal examination along with the proposal for conducting a Ph.D. preliminary qualifying examination entirely as internal examination at respective research departments or centres (Note No. 19748/RESEARCH-C-ASST-3/2019/Admn 07.12.2023).

Resolution: The Research Council approved the proposal for conducting the Ph.D. preliminary qualifying examination (PQE) entirely as an internal examination at the respective research departments or centres and also decided to approve the modalities proposed by the Directorate of Research for the conduct of the PQE examination.

Item No. 4: To consider the implementation of the "Embargo Policy on Doctoral Thesis and Dissertation" in the University (Note No. 147757/RESEARCH-C-SO/2023/Admn dated;18.08.2023).

Resolution: The Research Council approved the implementation of the draft Embargo Policy on Doctoral Thesis and Dissertation in the University proposed by the Directorate of Research as per the request from the University Librarian, CHMK Library, University of Calicut.

The minutes of the Research Council held on 11.12.2023 has been implemented vide U.O. read 2nd above.

The entire matter was placed for consideration of the Academic Council and as per the reference cited 3rd, the Academic Council held on 06.02.2024 considered the minutes of the Research Council held on 11.12.2023, vide Item No. I.1, and resolved to approve the same.

After considering the matter in detail, as per the reference cited 4th, sanction has been accorded by the Vice Chancellor to implement the resolution of the meeting of the Academic Council held on 06.02.2024 vide Item No.I.1.

The above resolution of the Academic Council is, therefore, implemented.

Orders are issued accordingly.

Rilesh K.T

Joint Registrar

To

Members of the Research Council

Copy to: PS to VC/PA to Registrar/ PA to PVC/ DR-I Finance/ DoR-A Section / DoR-B Section / DoR-C Section/ CSIF / Heads of all Teaching Departments and Research Centres/ KSAD /SF

Forwarded / By Order

Section Officer



UNIVERSITY OF CALICUT

CALICUT UNIVERSITY RESEARCH REGULATIONS 2023

Regulations for research leading to Ph.D.

Calicut University Research Regulations 2023

Regulations for research leading to Ph.D.

Preamble:

Regulations for Award of Ph.D. Degree, University of Calicut, 2023 are framed in supersession of the Calicut University Research Regulation-2016 implemented as per U.O. No. 1313/2017/Admn dated 03.02.2017; and in accordance with the UGC (Minimum Standards and Procedure for Awards of M.Phil. /Ph.D. Degree) Regulations 2022 notified in The Gazette of India [No. 544, Part III- Section 4] Extra Ordinary on November 7th 2022 vide .FN 1-3/2021(QIP) - in exercise of the powers conferred by clauses (f) and (g) of sub-section(1) of Section 26 of the University Grants Commission Act,1956 (3 of 1956).

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 Standards and Procedures for Award of Ph.D. Degree of the University shall be as per this Regulation.

1. Short title, Application and Commencement:

1.1 These Regulations may be called Calicut University Research Regulation - 2023.

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

1.3 These Regulations shall come into force from the date of its approval by the Academic Council of the University.

2. Eligibility criteria for admission to the Ph.D. Programme:

2.1 A 1-year/ 2-semester masters degree programme after a 4-year/8-semester bachelors degree programme or a 2-year/4-semester masters degree programme after a 3-year bachelors degree programme or qualifications recognized as masters degree by the University of Calicut, 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 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 UGC from time to time. The eligibility of the program should be recommended by the Research Advisory Committee of the concerned Research Centre.

2.2 Candidates who have completed the M.Phil. programme (before 2023) 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 per the decision of the Commission from time to time.

2.3 Full-time / Part-time Research:

2.3.1 Registration may be granted to all resident scholars on full time basis and to regular/permanently employed persons on part-time basis.

2.3.2 The Teachers/ academicians/ scientists of the Central/State funded/Grant in Aid institutions in India/ Librarians working in Government/ aided colleges/ employees of the University of Calicut, holding a permanent position there, if they qualify other eligibility criteria, are eligible for admission to Ph.D. programme satisfying the conditions of Clause 2.1 of the Calicut University Research Regulation 2023, may be granted part-time registration.

2.3.3 The Principals and teachers of Self-financing Colleges/ Contract/ Guest Lecturers working in Govt./ Aided Colleges/ University Teaching Departments/ School of Distance Education of the University/ Centres run by the University, having at least 12 months of experience and still continuing in service may be granted part-time Ph.D. registration. They have to qualify in the entrance examination for admission to Ph.D. programme. An undertaking from the Principal of the College/ Head of the Department/ Director should be submitted along with the application for part-time research that the Assistant Professor is still in service. In the case of the Principal, the certificate should be from the appointing authority. The candidates are eligible for admission to PhD program satisfying the conditions of Clause 2.1 of Calicut University Research Regulation 2023.

2.3.4 Indian and Foreign personnel working as Scientists/ Teaching Faculty/ Research Fellows, working in Educational Institutions or Research Development Organizations outside India, may be granted part-time Ph.D. registration satisfying the conditions as follows:

- 1) Course work exemption be given for the Part-time Research Scholar belonging to a Foreign Country who has an M.Phil. Degree in the subject concerned recognized as equivalent to that of the University of Calicut subject to the recommendations of the Research Advisory Committee (RAC) of the approved Research Centre of the University of Calicut. The mentor of the candidate in the foreign institution will be a member of the RAC.
- 2) A yearly attendance of six weeks at the Research Centre is mandatory in respect of the foreign personnel as detailed above doing Part-time Ph.D. at the University of Calicut.
- 3) Foreign personnel as detailed above who want to register for Part Time Ph.D. under the University of Calicut should also have a joint guide (mentor) in the subject concerned in the foreign country at their place of work and an MoU with regard to the research collaboration should be signed between the University of Calicut and the Institution in which the scholar works.
- 4) The collaborating foreign higher educational institution shall fulfil the criteria as prescribed in the UGC (Academic Collaboration between Indian and

Foreign higher educational institutions to offer twinning, joint degree and dual degree programmes) regulations 2023.

2.3.5 Provision for Ph.D. registration **i.r.o.** Project Fellows: If the Project fellow is appointed on the basis of a written test and interview, the Principal Investigator shall issue NOC for Ph.D. Registration i.r.o. Project Fellows doing research in University Departments under the PI/ Coordinator/ Co-PI of the project or under a supervisor recommended by the PI/ Coordinator. If the project work is the subject of the Ph.D. programme under the same PI/ Coordinator, Full time registration may be granted; otherwise, they are eligible for only Part -time Registration.

2.3.6 Full-time Ph.D. scholars can convert their mode of research into part-time consequent to the appointment in a Government/ Aided/ Self-financing institutions/ industry. In such cases, the scholar needs to have successfully completed the course work. Conversion of mode of research can be only done twice during the entire registration period.

The candidate for a part-time Ph.D. program should submit a “No Objection Certificate” 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) He/she will be relieved from the duty to complete the course work.

2.3.7 Professionals permanently employed in R & D environments in scientific institutions or industries can apply for part time research if they satisfy the conditions of the Clause for eligibility to do Ph.D. Such candidates need to qualify for the Ph.D. Entrance Examination conducted by the University of Calicut.

Requirements:

Professional Experience: Should have completed full-time employment of one years as on date of notification of admission.

Organization/ Institution/ industry status: The Organization/ Institution must have at least 5 years of existence. The Organization/ Institution should have adequate facilities for carrying out research. A certificate providing

infrastructure facility should be submitted. Department of Scientific and Industrial Research (DSIR) Certification is preferred but not mandatory. Organizations without DSIR certification will have to submit an undertaking that indicates the relevant information about the R & D capability of the organization.

Age: Should not have completed 55 years of age as on date of notification of admission.

Organizational mentor (for candidates from R&D Organization/Industries): The applicant should identify an Organizational mentor from the sponsoring organization, who must be an employee and satisfies the following requirements and is willing to supervise the research work of the candidate as a joint supervisor.

The Organizational mentor should be from the same organization or its parent organization, irrespective of their physical location. In case the physical locations are different, the application form needs to be endorsed by competent authorities of both locations/organizations.

The mentor from the organization should be a Ph.D. holder in the relevant subject.

The mentor from the Organization must have at least 5 years of regular service left in the present organization. In case there is no specific superannuation age (such as in private sector), then the upper age limit is 60 years.

The organization will ensure to provide an alternative Mentor if the current supervisor ceases to remain as a regular/full-time employee in the organization during the Ph.D. programme of the candidate.

Attendance: A yearly attendance of six weeks at the Research Centre is mandatory in respect of the industry personnel doing Part-time Ph.D. at the University of Calicut.

2.4 De-registration: A scholar, through his/her supervisor, can submit an application to the Research Advisory Committee for de-registration after two years from the date of his/her registration to the programme citing valid reason(s), subject to the following conditions:

If satisfied with the reason(s) for de-registration, the Research Advisory Committee may recommend de-registration of the scholar to the Directorate of Research. The Vice Chancellor shall approve the orders to de-register the scholar.

The scholar who has been granted an extension will not be allowed to de-register.

A de-registered scholar may apply for re-registration, in the requisite format, the concerned Research Advisory Committee, after payment of a re-registration fee prescribed by the Syndicate.

The re-registered scholar has to submit his/her thesis within one year of re-registration.

The total research period including de-registration and re-registration shall not exceed 10 years subject to clause 3.2. Otherwise, the scholar's admission in the programme shall automatically stand cancelled.

The scholar shall not pay the requisite Ph.D. semester fee during the de-registered period.

The candidate should have completed his/her Course work before de-registration.

Vacancy will arise under the research supervisor on de-registration of Ph.D. scholar working under his/her supervision.

The candidate should have cleared all pending dues before de-registration, failing which he/she shall not be eligible for re-registration.

A re-registered scholar shall be treated over and above the set ceiling for Professor/Associate professor/Assistant Professor as mentioned in Clause 5.4 of 2022 Regulations.

In cases where the supervising teacher has retired when the candidate is re-registered, a joint-guide should be appointed by the RAC for the period of re-registration.

De-registered candidates after re-registration are not eligible for fellowship during the re-registered period.

3. Duration of the Programme:

3.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years from the date of admission.

3.2 A maximum of an additional two (2) years can be given through a process of re- registration as per the Statute/Ordinance provided, however, 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.

3.3 Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days during entire duration of the Ph.D. programme. The duration of the maternity leave availed will be within the maximum duration of the programme.

3.4 Research Scholars can avail the facilities of the Centre, until the period of registration is valid.

4. Procedure for admission:

4.1 Candidates for Ph.D. programme shall be granted registration through an entrance test conducted by the University. Provided that a weightage of 70% for the entrance test and 30% for the performance for the interview/viva-voce shall be given.

4.2 The following categories of candidates are exempted from the entrance test for registration for Ph.D. Degree:

4.2.1 Candidates who qualify UGC-JRF, UGC CSIR-JRF, and research fellowships of central and state Government departments/agencies as approved by the University, as the case may be.

4.2.2 Full time regular teachers of the University departments/ Govt. or Aided Colleges/ Directorate of Collegiate Education/and teachers with FDP/ QIP or similar fellowships.

4.2.3. Scientists with at least five years of experience working in State/Central aided research institutions

4.2.4 Foreign nationals who are otherwise eligible for admission.

4.2.5 Full time project 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.

4.2.6 The candidates mentioned in clause 4.2.1 to 4.2.5 can apply for Ph.D. registration anytime during the academic year depending on the willingness/availability of guides. All other candidates who are permitted to do research should qualify the Ph.D. entrance examination conducted by the University of Calicut.

4.2.7 In the case of anytime candidates, except foreigners, the notification should be issued on the website of the University/website of the College or Institute. The modalities to be followed for admission of anytime candidates will be as per the rules laid down by the university from time to time.

4.3 M.Phil. Degree (successfully completed from any Statutory Recognized University in the relevant subjects) holders, and Candidates who qualify UGC-NET, UGC/CSIR-NET, SLET, GATE should appear for the Ph.D. entrance test excluding those candidates mentioned in 4.2.1.

4.4 The number of Ph.D. scholars, to be admitted to each subject of study at the University Departments/Centers and duly approved research centers, shall be decided based on number of available research supervisors and other academic as well as physical facilities available, in accordance with the norms regarding the scholar-teacher ratio, laboratory, library and such other facilities.

4.5 The University shall notify every six months, well in advance, on the website the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination centre(s) and date(s) of entrance test(s) and all other relevant information for the benefit of candidates.

4.6 Admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and taking into account the reservation policy of the State Government/University, applicable to SC/ST/OBC (non-creamy layer)/ differently-abled and other categories of candidates, as decided by the State Government/University from time to time.

4.7 Eligibility of Candidates for registration to Ph.D. shall be decided by a two-stage process – Entrance Test and Interview/Viva-Voce.

4.8 Entrance test shall be conducted at the Centre(s) on the dates notified in advance and changes of centers/dates, if any, shall be notified sufficiently earlier. Syllabus of the Entrance test shall consist of questions based on research methodology and the subject of study concerned.

4.9 All the candidates getting a minimum of 50% marks and in the case of SC/ST categories of candidates a minimum of 40% marks and in the case of OBC (non-creamy layer)/ differently abled and other categories of candidates a minimum of 45% marks, as the case may be, in the entrance test are qualified to appear for the interview.

4.10 Interview shall be conducted by a duly constituted 'Department Research Committee' which includes all research supervisors of the concerned Department, in such a way that the candidates would be required to discuss their research interest/area. The research aptitude of the candidate may be assessed in the interview.

4.11 The University shall maintain the list of all Ph.D. registered students on its website on year wise basis with the details, such as the name of registered candidate, topic of research, name of supervisor/co-supervisor, and date of enrollment/registration.

5. Recognition/ Allocation of Research Supervisor:

5.1 Permanent faculty members/ UGC FRP/ Inspire Faculty/ Emeritus Professor working as Professor/ Associate Professor of the Higher Educational Institution with a Ph.D., and at least five research publications (at least one paper should be within the last three years of applying for guideship) in journals included in UGC-CARE List I & II as first authors or corresponding authors and permanent faculty members working as Assistant Professors in Higher Educational Institutions with a Ph.D., and at least three research publications (at least one paper should be within the last three years of applying for guideship) in journals included in UGC-CARE List I & II/ University approved journals as first authors or corresponding authors may be recognized as a Research Supervisor in the university where the faculty member is employed or in its affiliated post-graduate Colleges/ Institutes. Patents filed or approved will be considered equivalent to a published research paper. Such recognized research supervisors cannot supervise research scholars in other

institutions, where they can only act as joint supervisor. The research supervisors recognized by the University of Calicut who are working in Government Polytechnic colleges or Government Engineering Colleges but have guideship in research centres affiliated to the University of Calicut, are permitted to guide research scholars.

Provided that in areas/disciplines where there is no, or only a limited number of peer reviewed or refereed journals, the Higher Educational Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. In such cases the Post Graduate board of studies may prepare and approve a list of peer reviewed journals which are of good quality.

Joint-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the RAC. Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

5.1.1 Teachers of Government Polytechnics/ Government Engineering Colleges, within the jurisdiction of Calicut University and who are working under the Directorate of Collegiate Education can be awarded guideship provided they meet other criteria stipulated in the Clause 5.1 of Research Regulations.

5.2 A full-time regular teacher, satisfying all conditions stipulated in Clause 5.1 and working in a department of a college/ centre affiliated to the University and has been transferred to a research centre which is not a recognized research centre of the university in his/her discipline, shall be permitted to continue with existing students. In case of Ph. D. scholars who have registered for Ph. D. in a particular research centre but whose supervising teacher is a teaching faculty in another college/institute, the Principal of the research centre where the faculty member is registered as guide, should give an undertaking that, the Principal will monitor the attendance and course work of the scholar.

5.3 For Scientists working in Central government/ State government research institutions on a permanent basis whose degrees are awarded by Higher Educational Institutions, who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors, if they fulfill the above requirements.

The Scientist grades eligible to be recognized as research guides should be equated with basic pay/pay band of Assistant Professor, Associate Professor, and Professor, exclusively for the purpose of research supervision, subject to fulfilment of other requirements stipulated in these Regulations. A certificate from the Head of the Institution stating that the basic pay/pay band is equivalent to Assistant Professor or Associate Professor or Professor should be submitted along with the application.

5.4 Teachers appointed in University Teaching Departments on contract basis for a minimum period of five years may be recognised as research supervisor if they have a Ph.D. and at least three research publications in UGC CARE listed journals I and II/University approved journals.

Assistant Professors appointed on Regular/ contract basis for a minimum period of five years in the university teaching departments/ project mode courses/ Institute of Engineering Technology, with a Ph.D., and at least three research publications in UGC CARE listed journals I and II/University approved journals may be recognized as a Research Supervisor in their respective departments or in the Translational Research Centre.

5.5 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.

Each supervisor can guide up to two international research scholars over and above the permitted number of Ph.D. scholars as specified above. The University may decide its own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time. In the case of joint guidance, the weightage of a scholar will be half but at any time the total number of research scholars under the guidance of a Professor/Associate Professor/Assistant Professor will be 8, 6, and 4 respectively.

5.6 If a research student under a Research Supervisor submits his/her Ph.D. thesis for adjudication, the date of submission of Ph.D. thesis will be considered as the date of occurrence of vacancy under that Research Supervisor in order to avoid the delay in granting registration for the new research scholar.

5.7 In the case of candidates who are intending interdisciplinary research and whose Master's degree is in one discipline under one faculty and who prefer research in

another discipline under the same faculty or different faculty, may conduct research under a Supervisor from the second discipline. A joint supervisor from outside the department/school/centre/college/university may be appointed, if needed. Ph.D. Degree be awarded to the candidate in the discipline in which he/she has the Master's degree or in the discipline of the Research supervisor. The final decision on this matter will be taken by the Research Advisory Committee. The candidate can appear for the entrance examination in the area of his/her post-graduation.

5.8 Allocation of a research supervisor for a selected research scholar shall be decided by the Department Research Committee concerned depending on the number of scholars per research supervisor, available specialization among the research supervisors and research interests of the scholars as indicated by them at the time of interview and willingness of the research supervisor.

5.9 In the case of a teacher being transferred among colleges under Govt./ Corporate/ same management, affiliated to the University and if that college is not a recognised research centre, the recognition of the teacher as a research guide at the research centre shall be continued for the existing candidates. In the case of research scholars, who have registered under a supervising teacher, who has retired from service/transferred from the centre of research, the Principal of the college or Head of the institute should monitor the attendance and course work of the research scholar. In such cases, Joint-Guides need to be appointed only in case the supervising teacher and the research scholar decide that there is a need for an additional academic expert to guide the scholar in the specific area of his/her Ph.D. work. The weightage for joint guidance will be equally divided among the guides. The recommendation of the Research Advisory Committee should be obtained for appointing a Joint Supervisor. The Joint supervisor can be from outside the jurisdiction of the University of Calicut and also from outside India. Only a willingness letter from the proposed co-guide is necessary for obtaining approval from RAC.

5.10 The research data, in case of relocation of the woman scholar for Ph.D. due to marriage or otherwise, shall be allowed to be transferred to the University 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 the project secured by the parent institution/supervisor from any funding agency. The scholar shall give due

credit to the original Research Supervisor and the institution for the part of the research already done.

5.11 Faculty members can continue to supervise Ph.D. scholars who are already registered not after attaining the age of 70 years.

6. Course Work:

6.1 The Credit requirement for the Ph.D. coursework is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.

6.2 A minimum of four credits shall be assigned to one or more courses on Research Methodology which shall cover areas such as quantitative methods, computer applications, research ethics and training, and field work and other areas found relevant to the discipline concerned. Other courses shall be in advanced level areas in the subjects concerned for enabling the students to acquire deep knowledge in the preparation for Ph.D. degree. The candidate undergoing course work has to attend 3 courses, which are Core Course, Elective Course and Research Publication Ethics as detailed below. The scholar should also submit a review of published research in the relevant field which will be evaluated at the time of PQE answer sheet evaluation.

Name of Course	Credit	Total Training Hours
Research Methodology	4	96 teaching hours
Elective Course	4	96 teaching hours
Research Publication Ethics	2	30 teaching hours
Review of published research in the relevant field	2 (Assessed through Viva at the time of PQE evaluation)	

Two Course works shall be scheduled in a year viz. from 1st January to 30th June and from 1st of July to 31st of December.

6.3 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirements and shall specify the content, instructional and assessment methods duly approved by the Chairperson, Board of Studies concerned or the RAC.

6.4 The Department where the scholar pursues research shall prescribe the course(s), based on the recommendations of the Research Advisory Committee, as stipulated under sub-clause 7.1 below, of the Research Scholar. The Elective course should be designed by the supervisor and approved by the RAC. The concerned research scholar may be taken into confidence while preparing the syllabus.

6.5 Scholars admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two years.

6.6 Scholars already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. course, shall be exempted by the Department from the Ph.D. course work papers of Core Course and Elective Course, upon the specific recommendation of the Research Advisory Committee. Recommendation of the Research Advisory Committee in this matter needs to be clear and specific as to whether the candidate's M.Phil. degree is regular or whether the candidate has cleared both the Course Work and Research Methodology in the relevant area of Ph.D. research. If the candidate has cleared only Research Methodology, the candidate has to pass a separate examination for the required paper (elective paper) conducted by the University. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

6.7 Grades or marks obtained in the Preliminary qualifying examinations (PQE), including research methodology courses, shall be finalized after a combined assessment by the Research Advisory Committee and at least one external examiner (outside the Research Centre), and the final grades shall be communicated to the University.

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

6.9 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 up to maximum of 4 hours per week of teaching /research assistantship for conducting tutorial or laboratory work and evaluations.

7. Research Advisory Committee and its functions:

7.1 There shall be a Research Advisory Committee or an equivalent body for a similar purpose as defined in the Statutes/Ordinances of the University for each research scholar. The committee shall consist of:

- i) Head of the University Department/ Principal of the College/ Director of the Institute in which the Research Centre is located (Chairman)
- ii) Three subject experts in the same discipline, two from the institution or from a research institute /grant-in-aid institution/ industrial expert from an R & D wing of the industry and one from the related teaching department of the University, nominated by the Chairman from a panel of five experts submitted by the supervising teacher concerned.
- iii) Supervising teacher of the research scholar concerned (Convenor)

The 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

7.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports recommended by the Research Advisory Committee shall be forwarded (uploaded in the college portal) to the Directorate of Research with a copy to the research scholar. The term fees will be accepted only upon submission and recommendation of the progress report by the Research Advisory Committee.

7.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Director of Research, University of Calicut, with specific reasons for cancellation of the registration of the research scholar.

7.4 The Research Advisory Committee can comment on the plagiarism report and give its recommendations

8. Evaluation and Assessment Methods, minimum standards/credits for award of the degree:

8.1 The Ph.D. Scholar shall, upon satisfactory completion of course work and obtaining the grade prescribed in sub-clause 6.8 above, be required to undertake the research work and produce a draft thesis within a reasonable time, as stipulated by the University based on these Regulations.

8.2 The scholar shall make a pre-submission presentation of the thesis in the Department. Pre-submission presentation shall be open to all faculty members and research scholars/students, and the feedback and comments obtained from the participants may be suitably incorporated into the draft thesis, as advised by the RAC. The scholars who have qualified Ph.D. course work are permitted to have pre-submission presentation before the completion of three years but can submit the thesis only after the completion of three years from the date of registration.

8.2.1 Title of research: The research scholars may work on the topic approved by the Research Advisory Committee and the specific title of the research work should be finalized by the Supervising Teacher before the pre-submission presentation.

8.3 Ph.D. scholars shall publish at least one research paper in UGC CARE listed journal, and make two paper presentations in conferences/seminars, recognized by the Department Council concerned, before the submission of the thesis for adjudication and produce evidence for the same in the form of presentation certificates and reprints. In areas/disciplines where there are no or only limited number of UGC CARE listed journals, the journals can be from the Calicut University Post graduate board of studies approved listed of journals.

8.4 The thesis submitted for adjudication shall contain an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism using the software approved by the UGC/University and that the work has not been submitted for the award of any other degree/diploma of the University or to any other Institution. However, for subjects where plagiarism check software is not available, manual

check by the Research Advisory Committee may be done. A two page abstract of the thesis should be included in the thesis.

8.5 The thesis for Ph.D. submitted for adjudication, shall be evaluated by the respective Research Supervisor and two External Examiners, who are not in employment of the University, of whom one examiner may be from outside the state/country. However, for the subject of Malayalam the condition that one examiner may be from outside the state/country may not be insisted upon.

8.6 The two External Examiners for evaluation of Ph.D. thesis shall be appointed by the Vice Chancellor from among the panel of ten experts, out of which five of them may be from outside Kerala. Assistant Professors who have successfully guided doctoral candidate with a minimum of 7 years of experience, and who are actively involved in research may be included in the panel submitted by the supervising teacher, giving consideration to the specialization in the topic of study.

8.7 The thesis shall be sent to another External Examiner, contained in the approved panel of examiners, in case the evaluation report of one of the External Examiners is unsatisfactory and does not recommend for conduct of the viva-voce.

9. Open defence and Viva Voce:

9.1 Public viva voce, based on the observations given in the evaluation report, shall be conducted by a Board consisting of one of the External Examiners from one among the examiners who evaluated the thesis, nominated by the Head of the Department/Principal of the college/Head of the Institute in consultation with the Supervising teacher, as Chairperson, and the Research Supervisor and Head of the Research Centre as members.

9.2 Open defence of the research scholar to defend the thesis shall be conducted only if the recommendations in the evaluation report(s) of the External Examiner(s) on the thesis submitted in the format specified by the University for the purpose, is/are satisfactory and specific recommendation for conduct of the viva-voce is made.

9.3 Open defence shall be open to all faculty members of the Department, research scholars and interested experts/researchers/students. The Viva board may decide on conducting a closed or open viva voce.

9.4 Open defence in respect of scholars referred to in Clause 8.7 of these Regulations, shall be held only if the recommendation in the report of the third External Examiner is satisfactory.

9.5 The University shall formulate appropriate methods, to complete the entire process of evaluation of thesis for Ph.D. within a period of six months from the date of submission of the thesis/dissertation.

10. Academic, administrative and infrastructure requirement for offering Ph.D. programmes:

10.1 All teaching/research departments/centers of the University are deemed to be research centers of this University.

The Translational Research Centre and the Central Sophisticated Instrumentation Facility established in the university is also deemed to be a multidisciplinary research centre.

10.2 Departments of affiliated (Govt/ Aided) Colleges and Research Institutes/ laboratories of Central/State Government and Central/State grant-in aid research institutions with at least two Ph.D. qualified teachers/scientists in the Department concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 10.3, shall be considered eligible to offer Ph.D. programmes, provided the other conditions specified by the University are fulfilled. Multidisciplinary research centres can also be granted in the above-mentioned institutions based on the report of the Research Recognition Committee constituted by the university as per rules and final approval of the Syndicate. In such cases two Ph.D. qualified teachers/scientists need to be from related or interdisciplinary subjects.

10.3 Teaching Departments of (Govt/Aided) Colleges and Research Institutes/ laboratories of Central/ State Government, Central/State grant-in aid research institutions with adequate facilities for research as mentioned below shall be allowed to offer Ph.D. programmes:

10.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment as specified by the University with provision for adequate space per research scholar along with computer facilities and essential software if relevant to the discipline.

10.3.2 Earmarked library resources including latest books, international journals, e-journals, extended working hours for all disciplines, adequate space for research scholars in the Department/Library for reading, writing and storing study and research materials.

10.3.3 Affiliated Colleges may access the available facilities of the neighbouring Institutions/Colleges, or of those Institutions/Colleges/R&D laboratories/ Organizations which have the required facilities.

10.3.4 Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:

- i) At least two faculty members or two scientists with Ph.D. in the proposed research centre.
- ii) Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

10.3.5 Research centers, granted approval by the University prior to the date of effect of this regulation, shall be permitted to remain as the research centre and to retain the research scholars who have applied for their registration prior to the date of commencement of these Regulations in force and continue their registration.

10.4 Conditions for granting research centres in self-financing colleges/ departments run on self-financing mode in a regular college/ affiliated colleges of the university:

1. The college should be accredited with A grade by NAAC at the time of application
2. The department should have two faculty members with Ph D in the relevant subject and should fulfill the conditions in clause 5.1 and 10.2
3. The faculty should be appointed as per UGC norms with basic pay as per UGC directions
4. The faculty should be appointed for a minimum period of five years

11. Centre Change/ Guide Change

11.1 A research scholar shall change his/her centre of research/supervisor but only under special/unavoidable circumstances and if there is another research centre and guide of the same subject willing to accept the research scholar.

11.2 The research advisory committee of the newly opted Research Centre shall recommend such a change if they find the candidate's request satisfactory.

11.3 The University may allow centre change/guide change upon production of 'no objection' certificates from the supervising teachers and heads of research centres concerned.

11.4 A research scholar shall apply for centre change/guide by stating specific reasons and remitting the prescribed fee for centre change/guide change. Centre change /guide change shall be permitted only once during the entire research period.

12. Leave

12.1 During the period of research, a full-time scholar can avail Duty Leave from his/her centre, for data collection/ analytical study/consultation with external experts. The candidate shall submit the report immediately after returning from duty leave. Only the recommendation of the supervising teacher is necessary for granting duty leave. The duration of the duty leave can be decided by the Supervising teacher.

12.2 Maximum period of Leave (fragments or continuously on solid reasons) during the whole period of research shall be one month (31 days) with fellowship, beyond which, two more months shall be granted without fellowship.

12.3 All kinds of leaves (casual/medical) to the Research Scholar may be granted by the Head of the Department/Head of RRC (maximum 15 days), Registrar/DoR (up to one month) or Vice Chancellor (beyond one month). All kinds of leave (casual/medical) shall be duly recommended by the Research Guide and forwarded by the Head of Departments/Institutes/Principal of Colleges (in the case of research centres in affiliated colleges) to the Directorate of Research.

12.4 Maternity/Paternity leave shall be granted by the HoD/HoI of RRC concerned to the Scholar; as per rules in vogue, with intimation to the DoR. This kind of leave can be availed once during the entire period research.

12.5 Part-time research scholars should have a minimum attendance of 60 days per year with a minimum of 3 days/month including holidays.

12.6 A Ph.D. candidate is allowed to take a maximum of 30 days of casual leave a year (or as mentioned in the regulations of external funding agencies, as the case may be) besides the holidays prescribed by the University, and they are not entitled to claim any other vacations like Onam, Christmas, and Summer, etc. Women and transgender candidates can claim menstrual leave as per the university norms. No single period of casual leave shall exceed 15 days including holidays.

12.7 The HoD/HoI of the Research Centre shall maintain the attendance and leave registers, of all the research scholars.

13. Joint Degree programme

13.1 The University of Calicut can offer joint Ph.D. degree programme in collaboration with other foreign higher education institutions. The provisions of the joint degree programme will be based on a Memorandum of Understanding signed between the University of Calicut and the partnering institutes.

13.2 Students must earn at least 30% of the total credits from each of the Indian and Foreign higher education systems.

13.3 Credits earned for the course in an institution shall count towards the Ph.D. degree jointly awarded by both institutions.

13.4 The student must have a supervisor at each institution. The student shall spend a minimum of one semester in each of the collaborating institutions during the study programme. The student shall submit a single thesis adhering to the framework jointly devised by the two partnering institutes.

13.5 Fee structure: The scholar has to pay the fee at each institution as per the existing rule or as per the MoU.

13.6 The degree will be awarded by the University of Calicut and the collaborating foreign higher education institution with a single certificate or two certificates as per the Memorandum of Understanding between the institutions.

14. Treatment of Ph.D. through Distance Mode:

14.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, the University shall not conduct Ph.D. Programmes through distance education mode.

15. Award of Ph.D. degrees prior to Notification of these Regulations:

15.1 Award of degrees to candidates registered /waiting for registration for research leading to Ph.D. on or after December 13, 2016 till the date of effect of this regulation shall be governed by the provisions of the Calicut University Research Regulation 2016 and subsequent amendments and guidelines thereof adopted by the University.

16. Depository with INFLIBNET

16.1 The University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, following the successful completion of the evaluation process and before the announcement of the award of Ph.D. degree, for hosting the same accessible to all.

16.2 The University shall issue an Award notification to each scholar, prior to the actual award of the Degree, to the effect that the Degree has been awarded in accordance with the provisions of the UGC (Minimum Standards and Procedure for Awards of M.Phil./Ph.D. Degree) Regulations 2022.

17. Rules and procedures:

The rules and procedures for admission / registration / conduct of course work/pre-submission presentation/ evaluation of thesis/viva-voce within the frame work of these regulations shall be framed by the University, giving due consideration to these Regulations.

18. Repeal and Saving:

18.1 All directives and orders issued before the commencement of these regulations, by the University under the then existing regulations and guidelines shall continue to apply for the period for which such orders/ directions were issued. All guidelines issued shall continue to have effect until such rules are rescinded or modified, as the case may be, and save, as otherwise provided in these regulations are hereby repealed.

18.2 In case of disputes, the Vice Chancellor, as the academic head of the University, shall examine the cases individually and make an appropriate decision.
