

## RESEARCH REGULATIONS 2016 FOR Ph.D. PROGRAMME

### 1. ELIGIBILITY

- 1.1 Master's Degree of any recognized University or any other qualification recognized as equivalent thereto in the fields of study notified from time to time by this University
- 1.2 Minimum eligibility is 55% of marks or equivalent CGPA. However 5% relaxation is given to the candidates belonging to SC/ST.

### 2. CATEGORIES OF PH.D. CANDIDATES AND PLACE OF RESEARCH

- 2.1 There shall be three categories of Ph.D. candidates as listed under:
  - a) **Full time**: All approved candidates who pursue full-time study and research in this University shall belong to this category.
  - b) **Part-time (Internal)**: All approved candidates who are employed in this University and actively involved in the relevant area of teaching, research or development as part of their regular work shall belong to this category.
  - c) **Part-time (External)**: Candidates working in Industry involved in R&D activities or working in any Academic Institutions accredited by NAAC / NBA / ABET or Research Organizations recognized by this University, and who are permitted for pursuing Ph.D. Programmes in this University while continuing in their job, shall belong to this category. While they shall pursue research in their place of employment, such candidates shall report to their respective supervisor as and when required.
- 2.2 Research outside the University:  
During the course of the Ph.D. Programme, for reasons approved by the Doctoral Committee, a candidate may be permitted by the University to spend up to one year in an Institution or on a project approved for the purpose, outside the University for carrying out research in areas related to the subject of investigation. The conditions for this will be laid down by BRC from time to time.

### 3. DURATION OF THE PROGRAMME

- 3.1 The duration of the programme and minimum time for submission of thesis after the date of registrations will be as per the table given below:

		Full time	Part Time
A	PG in Engineering / Agricultural / Veterinary / Medicines etc.		
B	M.S. (Research) / M. Phil. In Arts / Science / Humanities / Management	3 years	4 years
C	PG In Arts / Science / Humanities / Management / Education	3 years	4 years

- 3.2 In all the categories the maximum period shall be six years. In exceptional cases maximum period shall be extended by half a year at a time, maximum of four times based on the recommendation of the Doctoral Committee. This shall be approved by Board of Research & Consultancy.
- 3.3 A Candidate can avail a break in study on medical / any valid reasons during their course of study. This period will not be counted as part of the minimum / maximum period.

#### **4. ADMISSION PROCEDURE**

- 4.1 Candidates aspiring to register for the Ph.D. Degree shall submit the application in the prescribed form through proper channel, wherever applicable in response to the advertisement by the University.
- 4.2 All eligible applicants will be called for a written entrance test and interview. The admissions will be based on a merit list in addition to the consistent academic record and performance in the entrance test and interview.
- 4.3 The candidate will be issued a provisional admission letter by the Admission Office of the University.
- 4.4 Candidate shall be admitted for the programme only at the beginning of the semester. The candidate will continue to pay the prescribed fees every semester, in order to keep the Ph.D. Registration alive until the thesis is submitted. If a candidate fails to do so within the permissible dates of payment of fees, the registration will be withdrawn and the candidate's name will be removed from the rolls after referring to the Supervisor.
- 4.5 Provisional admission will be given only after paying of fees and submission of all original certificates as required by the University.
- 4.6 Within a week of the admission, the Department research committee along with all approved research supervisors of the Department will allocate Supervisors for each candidate and the same will be approved by the HoD and copy will be sent to the Registrar and Director of the School for subsequent ratification by BRC.
- 4.7 The registration confirmation letter will be issued after the candidate successfully defends comprehensive viva. The date of registration will be the date on which the zeroth doctoral committee was held.
- 4.8 **Transfer Policy:**
- (i) A Ph.D scholar who has registered under other Universities but wishes to transfer to Karunya University shall produce 'No objection certificates' from a) the University b) Supervisor from the previous organization c) Joint Supervisor (if any) and d) Department.

The Admission Officer shall forward the application form along with NOCs to the Department for scrutiny and action. The Department Research Committee shall interview the scholar and verify his/her credentials, subject knowledge, extent and quality of research work carried out and submit the recommendations to the Registrar through the Director of the concerned School.

- (ii) Upon granting admission in Karunya University, the HoD shall appoint the Supervisor based on expertise in the concerned area of research. The Supervisor shall constitute the DC as per existing norms. The DC shall recommend the minimum/maximum period of completion and the number of credits that can be transferred if the scholar has already completed in the course work. The recommendations of the DC shall be validated by the office of Research and the same shall be submitted for approval by the Chairman-BRC.

## **5. SUPERVISORS AND NUMBER OF CANDIDATES**

### **5.1 Recognition:**

Recognition of Supervisor for guiding research work will be accorded by the Chairman Academic Council on making an application in the prescribed format and on the recommendations of the BRC, provided the applicant possess the following:

- a. A Ph.D. Degree in the relevant or allied areas of research in which he/she proposes to guide the candidate.
- b. A minimum of two publications in the relevant or allied areas of research in a refereed Journal (Scopus indexed/Thomson Reuters) or a patent.
- c. Should have completed one year after award of PhD degree with one publication in Scopus Indexed Journal after PhD.
- d. He / She should have a minimum of three years of service left at the institute.

- 5.2 An updated and approved panel of recognized Supervisors for the Ph.D. programme of the University shall be maintained by the Office of Academic Research. Faculty members of this University who can guide in interdisciplinary areas shall register themselves in the relevant Departments. The Research Committee of the Department shall examine and recommend the application form to BRC. The faculty member can be included in the panel of recognized Supervisors after the approval of BRC.

- 5.3 All categories of Ph.D. registrants shall be required to work under a recognized Supervisor of this University. The students can also have a Joint-Supervisor, depending on the nature of work.

- 5.4 In the case of Part-Time candidates (External) there shall be a Coordinator from the organization where the candidate is planning to do research, if the research involves experiments and or data collection as specified by the Doctoral Committee.

- 5.5 When the Supervisor of a candidate happens to be away from the University on other assignments for more than six months, he/she may continue to guide the candidate, but a Joint Supervisor /Coordinator belonging to the University faculty shall be officially nominated by the Department Research Committee in keeping with abilities and

background, as per 5.1 of this regulation and research adequacies and willingness of the Joint Supervisor / Coordinator in consultation with the Supervisor.

- 5.6 If the Supervisor is terminated from service his recognition as supervisor stands cancelled.
- 5.7 When a Supervisor resigns from the University, he/she shall forfeit his/her claim as a research guide unless otherwise recommended by Chairman-BRC under justifying circumstances.
- 5.8 All recognized Supervisors shall comply with the University Code of Conduct for Supervisors and shall submit an undertaking to that effect.
- 5.9 **Provision for Changes:**

i) Change of Supervisor:

For changing the Supervisor, the research scholar will write to HoD. The HoD will request the Department Research Committee to scrutinize the request and to send its recommendations. If the committee approves the request, suggests a new Supervisor having high credentials as per section 5.1, HoD shall appoint the new Supervisor after getting an NOC from the previous Supervisor. This shall subsequently be ratified by the BRC. In such cases, the Doctoral Committee can also be reconstituted by the supervisor and approved by the HoD.

ii) Change of Category:

A full time research scholar in the event of getting any employment may change the category from Full - time to Part – time and vice-versa. The research scholar shall write a letter to the HoD along with the recommendations of the Doctoral Committee. In such cases the duration of the programme shall be pro-rated by the Office of Research. Changing the category from full-time to part-time is possible only after six months from the date of registration. This shall subsequently be ratified by the BRC.

5.10 **Number of Candidates:**

A Supervisor shall not guide more than six doctoral candidates at any time. In addition to this, a Supervisor can act as Joint Supervisor for not more than two candidates.

## **6. DOCTORAL COMMITTEE**

- 6.1 There shall be a Doctoral Committee for every scholar to monitor the progress of research work.
- 6.2 For every scholar, the Supervisor shall furnish a panel of six experts with doctoral qualification in the field of proposed research, from the faculty members of the University / Colleges affiliated to the University / other Universities / experts from R&D Departments

/ National Laboratories / any other laboratories, from which one will be selected by the HoD of the Department.

- 6.3 The Supervisor of the scholar shall be the convener of the Doctoral Committee.
- 6.4 The Joint Supervisor, if applicable, shall also be a member.
- 6.5 The Head of the Department of the Supervisor shall be an ex-officio member.
- 6.6 In the event of the Supervisor of the University leaving the University temporarily or permanently the Joint Supervisor / Coordinator shall be the Convener.
- 6.7 All communications shall be routed through the HoD.

## **7. PRESCRIPTION OF COURSE WORK AND COMPREHENSIVE VIVA**

### **7.1 Course Work:**

- (i) The Doctoral Committee of the candidate shall meet within thirty days of admission and prescribe course work for the candidate.
- (ii) Three courses at PG level and Literature Review are the mandatory course work which every scholar has to complete. The prescribed courses must be offered under any approved programme of this university and should not have been studied by the scholar during his/her post graduate course. The course work along with Literature Survey shall be recommended by the Doctoral Committee in the zeroth DC meeting.
- (iii) All PT/FT scholars should undergo Research Methodology as one of the three courses in regular mode. If a research scholar has already completed the Research Methodology course in M.Phil. / M.S. programme, he/she may be exempted from registering for the same but the scholar will have to study another course in lieu of it as recommended by the DC.
- (iv) Full Time / Part Time Ph.D. scholars are required to attend class work for a minimum of 2 courses (Research Methodology & one Department Subject) and fulfil the 85% attendance requirements if offered. Part-time Scholars are expected to register their courses except Research Methodology under self-study with Controller of Examinations as per the guidelines.
- (v) Every student would have to undertake course work for a minimum period of one semester of subjects at P.G level being offered under any approved programme of this University as recommended by the Doctoral Committee.
- (vi) No change in the courses prescribed shall be made without the prior approval of the Doctoral Committee.
- (vii) The students are required to register for courses including the literature survey (0:0:4) within 15 days after the commencement of any semester.
- (viii) Every student should acquire a minimum CGPA of 6.0 through prescribed courses failing which the scholar shall reappear for the exams in one or more courses in which the scholar has scored low grades to acquire the minimum required CGPA, excluding the literature survey.

- (ix) As a part of the course work at the end of the semester every student is required to submit an extensive review report and to give a presentation in a seminar with a credit of 0:0:4 of literature survey of the research problem which should be comprehensive and exhaustive and will be open to all faculty and research students of the department and shall be attended by the DC members.

## **7.2 Comprehensive Viva:**

- (i) Comprehensive viva should be conducted after the completion of course work and literature review but before 18 months from the date of registration.
- (ii) Comprehensive viva shall be conducted by the DC members.
- (iii) Subject code for Comprehensive Viva will be CV3991.
- (iv) The scholar can proceed with his/her research work further, only when his/her performance in the comprehensive viva is found to be 'Satisfactory'.
- (v) If the scholar's performance in the comprehensive viva is found to be 'Unsatisfactory' he/she may be given one more chance for reappearance. Ph.D Registration will be cancelled, if he/she fails in the second attempt.

## **8. MONITORING THE PROGRESS OF CANDIDATES**

### **8.1 Submission of Progress Report and Fee Receipt:**

- (i) Every PT/FT research scholar of the University shall submit the Progress Report of the previous semester and the fee receipt of the current semester on or before 5<sup>th</sup> working day of every semester till the submission of thesis.
- (ii) If a scholar fails to do it on or before 5<sup>th</sup> working day of every semester, a reminder notification will be sent from the Research Office through SMS/email to submit the progress report and fee receipt before the 15<sup>th</sup> working day with a late fee of Rs.500/-.
- (iii) A scholar who fails to respond to this will be put on 'Out-of-Rolls' on the 16<sup>th</sup> working day. Subsequently for re-joining the course, the scholar will have to pay the re-admission fee of Rs.1000/-. There will not be any extension in the minimum or maximum duration of submission of thesis in lieu of the period in which the student was in 'Out-of-Rolls'.
- (iv) If the scholar fails to respond throughout the semester to clear his 'Out-of-Rolls' by paying the fee and submitting the progress report, at the end of the semester the registration of the scholar shall be automatically canceled.

### **8.2 Discussion with Supervisor:**

- (i) Each full-time PhD scholar is required to meet and discuss with his / her Supervisor(s) at least once in a week and report the progress about the research work done. The scholar has to be present in the University every working day and do required works related to his/her Ph.D.
- (ii) Part-time PhD scholars (Internal) are required to meet and discuss with his / her Supervisor(s) at least once in a month and report the progress about the research work done.

- (iii) Part-time PhD scholars (External) are required to meet and discuss with his / her Supervisor(s) at least once in two months and report the progress about the research work done, if they are working far away from the University.
- (iv) Part-time PhD scholars (External) are required to meet and discuss with his / her Supervisor(s) at least once in six months and report the progress about the research work done, if they are working outside India.
- (v) All PT-External scholars should submit No-objection certificate from their current employers every year before 31<sup>st</sup> July.

8.3 The Supervisor shall arrange to make a presentation by the candidate of his/her work once in a year before the Doctoral committee. A Doctoral Committee (without external expert) shall review the progress of the candidate at least once in between two Doctoral Committee meetings. The supervisor will send the minutes [Proforma VIIa] of the DC meeting along with progress report to the HoD and a copy to the Coordinator-AR. Irregularities in conducting DC meetings and submission of progress reports may lead to the cancellation of the registration of the candidate.

## **9. CANCELLATION OF REGISTRATION**

The registration of a candidate whose progress is either not satisfactory or who has exceeded the maximum period (including grace period) stipulated for the Ph.D or fails to respond as given in 8.1 (iv) shall be cancelled by Board of Research and Consultancy based on the recommendation of Doctoral Committee.

## **10. SYNOPSIS OF THESIS**

10.1 On satisfactory completion of the research work carried out after successful completion of all prescribed courses, seminar on literature survey, and the comprehensive viva, the candidate shall submit to the Doctoral Committee through the Research Supervisor, six copies of the synopsis of the Ph.D. work carried out. The earliest date on which synopsis submission shall be six months before the date of submission of thesis as per norms. However the thesis can be submitted only after the completion of minimum period.

10.2 The synopsis shall be accepted only when the Research Scholar has fulfilled the following:

(i) at least two paper either published or accepted for publication in a refereed National / International journal(indexed in Scopus/Thompson Reuters) (ii) at least two papers presented in National / International Conferences conducted by Premier Institutions

(OR)

(ii) atleast one patent filed (through KU IPR Cell) and published (ii) one publication in a refereed National / International journal(indexed in Scopus/Thompson Reuters)

(OR)

(iii) atleast one patent licensed for Technology development to an Industry and (ii) one publication in an International Conference Proceeding

- 10.3 The synopsis viva-voce shall be conducted by the Doctoral Committee in the presence of all faculty members and research scholars of the Department. After satisfactory presentation of the research work reported in the synopsis, the Doctoral Committee shall forward six copies of the revised synopsis including the feedback from the Synopsis viva to the Coordinator-AR along with panel of examiners. There shall be three different panels of three examiners each. A) From outside India B) From outside Tamilnadu, Pondichery and Kerala C) From within Tamilnadu, Pondichery and Kerala.

## **11. SUBMISSION OF THESIS**

- 11.1 The thesis has to be run in the plagiarism software available with the HoD and submit the generated report signed by the Supervisor, and HoD along with the thesis.
- 11.2 The thesis shall be prepared in the format prescribed by the University with an account of the original research work of the candidate leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental etc.) and demonstrating a quality as to make a definite contribution to the advancement of knowledge and the candidate's ability to undertake independent research and present the findings in an appropriate manner with actual accomplishments of the work, plainly stated and honestly appraised.
- 11.3 The Thesis shall be scrutinized by a Senior faculty of the concerned Department nominated by the HoD who will assess the overall layout, contents and the quality of presentation of the Thesis. The deviation, if any, shall be rectified by the scholar in consultation with the Supervisor and the same shall be approved by the HoD.
- 11.4 Three copies of the thesis shall be prepared and submitted to the Coordinator-AR in accordance with the format and specification prescribed. Thesis shall be submitted within six months of the approval of the Synopsis by the Doctoral Committee. Under no circumstances, the thesis submission can be delayed except under extraordinary circumstances, where an extension of two months may be permissible with the recommendations of the Doctoral Committee.
- 11.5 The thesis shall include a certificate from the concerned Supervisor (and Joint Supervisor, Coordinator, if any) to the effect that the thesis is a record of the bonafide research work carried out by the candidate under his/her/their supervision and guidance and that the work reported in the thesis has not been submitted elsewhere for a degree or diploma.
- 11.6 Instructions to candidates for submitting synopsis and thesis shall be laid down by the Coordinator-AR.



- 11.7 Fees shall be paid by the candidates on half yearly basis, till the submission of the thesis; the candidate will submit a no dues certificate from all concerned to the Coordinator-AR. The Coordinator-AR will submit the Thesis to the CoE for further processing.

## **12. THESIS EVALUATION**

- 12.1 The thesis shall be referred to the first two examiners from the panel as nominated by the Vice-Chancellor from the panel of names recommended by the Doctoral Committee.
- 12.2 The Controller of Examinations as deemed necessary to enable the reports of the Examiners to be received as quickly as possible. The examiners are expected to send, in the prescribed form, their reports within two months from the date of receipt of the thesis.
- 12.3 The examiner shall include in his / her report an overall assessment, placing the thesis in one of the following categories:
- a. Recommended for the award of the degree of Doctor of Philosophy: Highly commended / Commended.
  - b. Revision required.
    - (i) Revised Thesis be resubmitted
    - (ii) Revised Thesis need not be resubmitted
  - c. Rejected
- 12.4 The examiner shall enclose a report in about 300 words, indicating the standard attained in case (a), the nature of revision in case (b) and the reasons in case (c).
- 12.5 If both the examiners recommended the award of the degree, thesis shall be provisionally accepted. Any minor revision, modification etc., suggested by the examiners shall be carried out before the oral examination is arranged.
- 12.6 If both examiners recommended rejection, the thesis shall be rejected and the registration of the research scholar stands cancelled.
- 12.7 If one examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to the third examiner as nominated by the Vice-Chancellor from the panel of examiners. If two of three examiners recommended the award, the thesis shall be provisionally accepted. If two of the examiners recommend rejection, the thesis shall be rejected and the registration of the research scholar stands cancelled.
- 12.8 If any examiner recommends revision of the thesis the candidate shall be permitted only once to revise and resubmit the thesis within 6 months and the revised thesis shall be referred to the same examiner only in the situation such as (i). when the examiner recommends new experiments and major modification involving new methodology and also (ii). the examiner insist the university to send the thesis back to the same examiner after revision for offering his final recommendation on the thesis which should only be

either recommended for the award or rejection. In case, the examiner does not insist on sending the thesis back to him, the thesis shall be referred to the Supervisor to ascertain the corrections carried out in the thesis as suggested by the examiners. The Supervisor shall study the report of the examiners & accordingly send consolidated report to the Controller of Examinations. Controller of Examinations, based on the approval of Vice-chancellor shall constitute oral examination board, within a period of two months from the receipt of the reports from the supervisor.

- 12.9 Individual cases not covered by the above clauses shall be referred to the Vice-Chancellor. On reasons deemed fit, the Vice-Chancellor shall refer to the Board of Research and Consultancy which in turn shall refer to the Board of Management, if necessary.

### **13. ORAL EXAMINATION**

- 13.1 The Board of viva-voce Examination shall be:
- a. Chairman – to be nominated by VC
  - b. The Indian Examiner who evaluated the thesis
  - c. Supervisor
  - d. Joint Supervisor / Coordinator (if any)
- 13.2 The viva-voce examination shall be conducted in this University as “Open Defence Type” examination. The decision of the Board of Examiners shall be final.

### **14. AWARD OF PH.D. DEGREE**

If the Board of viva-voce Examination recommends, the candidate will be awarded Ph.D. Degree with the approval of the Board of Management.

### **15. PUBLICATION OF THESIS**

- 15.1 Papers arising out of the thesis may be published by the candidate.
- 15.2 The thesis as a whole shall not be published by the candidate without the specific approval of the Board of Research and Consultancy of the University.
- 15.3 The abstract of the thesis will be uploaded on to the internet by the CoE.
- 15.4 The same copy of the thesis in CD ROM duly certified by the Research Supervisor shall also be submitted to Coordinator-AR immediately for depository with UGC and uploading in INFLIBNET.

### **16. THE ACT OF PLAGIARISM**

- 16.1 In the case of research scholars who have copied a dissertation / thesis / book for Ph.D. degree his / her thesis shall be forfeited and his / her research registration shall be

terminated in this university and also he / she shall be debarred to register for any other programme in this University.

- 16.2 For the abetment of above such action, the recognition of his / her supervisor shall be withdrawn for a period of 5 years and he / she shall be debarred from guiding the research scholars for any research programme in this University till such period.

## **17. POWER TO MODIFY**

Notwithstanding anything contained in the above said regulations, the Board of Management reserves the right to modify any of the above said regulations from time to time.