



KERALA UNIVERSITY OF FISHERIES AND OCEAN STUDIES

PANANGAD P.O., KOCHI, KERALA. 682 506

RESEARCH POLICY

Introduction

The Kerala University of Fisheries and Ocean Studies is committed to advancing knowledge, fostering innovation, and addressing critical issues related to fisheries and ocean sciences. This research policy outlines the policy statement, guiding principles, objectives, and procedures that will govern research activities within the university. The overarching goal is to promote excellence in research, enhance collaboration, and contribute to sustainable management of fisheries and ocean ecosystems.

1. Policy Statement

The Kerala University of Fisheries and Ocean Studies (hereafter referred as University) is unwavering in its commitment to research excellence, ethical conduct, collaboration, and knowledge transfer. This policy serves as a guiding framework to ensure that our research activities uphold the highest standards and contribute meaningfully to the advancement of fisheries and ocean sciences and also upholds the university's commitment to excellence, integrity, collaboration, and societal impact. Through this policy, we seek to create an environment that nurtures world-class research and contributes to the sustainable management of fisheries and ocean ecosystems. By fostering a culture of innovation, interdisciplinary collaboration, and societal impact, we aim to position the university as a leader in fisheries and ocean studies, making lasting contributions to the sustainable management of our planet's vital aqua and marine resources. This policy will be periodically reviewed and updated to maintain alignment with the evolving needs and priorities of our institution.

2.Guiding Principles:

1. Excellence in Research

The university places a strong emphasis on conducting research of the highest quality. This encourages researchers to explore innovative approaches, stay updated with the latest developments in their fields, and contribute to advancing knowledge in fisheries and ocean sciences.

2. Ethical Conduct

Maintaining ethical standards in research is paramount. This principle emphasizes the importance of integrity, transparency, and adherence to ethical guidelines in all research

activities. Researchers must obtain necessary approvals, treat research subjects ethically, and follow responsible research practices.

3. Collaboration and Interdisciplinarity

The university values collaboration among researchers within and outside the institution and encourages interdisciplinary research. By fostering connections between different departments and disciplines, the university aims to address complex challenges in fisheries and ocean sciences more effectively.

4. Knowledge Transfer and Outreach

Research findings are considered valuable when they are shared with the wider community. This principle underscores the importance of knowledge transfer activities, such as public lectures, workshops, and collaborations with stakeholders. The goal is to ensure that research outcomes have practical applications and contribute to the betterment of society.

Objectives:

1. Research Excellence

The primary objective is to cultivate a culture of research excellence within the university. This involves providing support to faculty, researchers, and students, enabling them to conduct impactful and innovative research that contributes significantly to the field of fisheries and ocean sciences.

2. Interdisciplinary Research

Encouraging collaboration across departments and disciplines is a key objective. By fostering interdisciplinary research initiatives, the university seeks to tackle complex challenges that require diverse expertise, ultimately leading to more comprehensive and robust solutions

3. Research Funding

The University aims to support researchers in securing external funding for their projects. This involves facilitating the grant application process, establishing partnerships with

external entities, and providing resources to enhance the competitiveness of research proposals.

4. Graduate Research Training

To ensure the continuous development of the field, the University is committed to supporting graduate research programs. This objective focuses on training the next generation of researchers and professionals in fisheries and ocean studies.

5. Research Infrastructure

Investing in state-of-the-art research infrastructure and technology is crucial. This objective underscores the importance of providing researchers with the tools and facilities needed to conduct cutting-edge research.

6. Ethical Conduct

Ensuring that all research activities adhere to ethical standards is a fundamental objective. This involves establishing and maintaining an ethics committee to review and approve research projects involving human subjects, animals, or sensitive data.

7. Intellectual Property Management

Develop and implement policies and procedures for the identification, protection, and management of intellectual property arising from research activities

8. Knowledge Transfer

Promoting the translation of research findings into practical solutions is a key objective. This involves encouraging researchers to engage in knowledge transfer activities, such as public lectures and workshops, to ensure that the benefits of research are disseminated to the broader community.

Definitions

Definitions have been included in the research policy to help ensure a shared understanding of key terms and concepts among researchers, faculty, and other stakeholders at the University.

- **Author:** An author is an individual who creates original written or artistic works, such as books, articles, or artistic compositions. Authors have the right to claim authorship and control the use of their works.

- **Centers of Excellence (CoEs):** are specialized research entities within the university that focus on a specific area or discipline of exceptional expertise. These centers aim to advance research, innovation, and knowledge dissemination in their designated fields. CoEs typically bring together a multidisciplinary team of researchers and experts to address complex challenges, conduct cutting-edge research, and collaborate with external partners. The establishment of Centers of Excellence contributes to the university's commitment to excellence and leadership in targeted research areas.
- **Directorate of Research:** The Directorate of Research is an administrative body responsible for implementing and overseeing the university's research policies and initiatives. It is headed by a Director of Research.
- **External Aided Projects (EAP):** External Aided Projects refer to research or development initiatives funded by external agencies, organizations, or government bodies to support specific projects within the university.
- **Intellectual Property:** Intellectual property refers to creations of the mind, such as inventions, literary and artistic works, designs, symbols, names, and images used in commerce. It is protected by law through patents, copyrights, trademarks, and trade secrets.
- **Invention:** An invention is a novel and original creation or discovery, often resulting from scientific or technical research, that introduces a new process, product, or concept.
- **Inventor/Inventors:** An inventor is an individual or group of individuals who conceptualize and create a new and inventive idea, process, or product. Inventors are credited for their contributions to the development of intellectual property.
- **KUFOS Aided Research Project (KARP):** These projects are designed to provide financial assistance, resources, and institutional support to newly appointed faculty members as they embark on their research endeavors. The primary goal is to empower these faculty members to establish themselves in their respective fields, build a strong research profile, and contribute meaningfully to the university's research community.
- **Misappropriation of ideas** - taking the intellectual property of others, perhaps as a result of reviewing someone else's article or manuscript, and proceeding with the idea as your own.
- **Plagiarism:** Plagiarism is the act of presenting someone else's work, ideas, or intellectual property as one's own without proper attribution. It is a serious academic offense and violates ethical standards.

- **Plan Funded Projects:** Plan Funded Projects are research projects financed through the University's plan budget funded by the state government or internal funds, often aligned with the institution's strategic objectives and research priorities.
- **Principal Investigator:** The Principal Investigator (PI) is the lead researcher responsible for the design, conduct, and overall management of a research project. The PI often leads a team of researchers and collaborators.
- **Research Council:** A Research Council is an advisory body composed of experienced researchers, academic leaders and representatives of key sectors including seafood export industry, farming, fishing sectors. It plays a key role in providing guidance, shaping research priorities, and advising on strategic decisions related to the university's research activities.
- **Research Guide:** A research guide, also known as a supervisor or mentor, is an experienced faculty member who provides guidance, mentorship, and academic support to research scholars, overseeing their research projects.
- **Research Scholar:** A research scholar refers to an individual enrolled in a research program, usually at the postgraduate or doctoral level, engaged in original and systematic investigation to contribute new knowledge to a specific field
- **Research:** Research is a systematic process of inquiry that aims to discover, interpret, and expand knowledge. It involves the collection, analysis, and interpretation of data to answer specific questions or solve problems.
- **Self-plagiarism** - recycling or re-using your own work without appropriate disclosure and/or citation.

Organizational Structure and Research Management

This organizational structure and research management framework are designed to enhance the efficiency and effectiveness of research activities at the University. Clear lines of responsibility, dedicated committees, and support offices aim to streamline the research process, ensuring that faculty, researchers, and students can navigate the research landscape effectively. Regular reviews and adjustments will be conducted to align the organizational structure with the evolving needs and priorities of the university's research endeavors.

Research Governance

The implementation and updating of Research Policy shall be carried out by Directorate of Research, in consultation with the University's Research Council. There will be a two-tier system to streamline

its research activities, consisting of the Research Council (RC) and Faculty Doctoral Committees. The Research Directorate will be headed by the Director of Research. The Director of Research will be responsible for overseeing and coordinating all research activities within the university. There will also be a Research Council with the Vice Chancellor as the Chairperson which will function as an advisory body. The research policy will be updated from time to time, in consultation with the Internal Quality Assurance Cell (IQAC).

2. Research Council (RC):

Research Council will function as the apex advisory body to the Directorate of Research. The Research Council is re-constituted by the Chancellor every four years through notification as per the ordinance No.46 of 2021 amending KUFOS act 2010 (Act 5 of 2011). The members to the council are nominated by the University's Governing Council.

The Research Council members include:

- The Vice Chancellor as Chairperson.
- The Pro Chancellor
- Director of Research as Member Secretary
- Director of Extension
- The Dean of all Faculty : a. Dean, Faculty of Fisheries Science b. Dean, Faculty of Ocean Science & Technology c. Dean, Faculty of Fisheries Management b. Dean, Faculty of Fisheries Engineering.
- A senior faculty member who is an approved guide nominated by Governing Council from all the Faculty
- Director of each Regional Centre:a. Head, Fisheries Station, Puduveypu b. Special Officer, KUFOS Regional Centre, Payyannur, Kannur c. Special Officer, KUFOS Regional Centre , Kollam
- The Director of CMFRI or a representative not below the rank of Principal Scientist, nominated by him
- The Director of CIFT or a representative not below the rank of Principal Scientist, nominated by him
- The Director of NIO or representative not below the rank of Principal Scientist, nominated by him
- The Director of Fisheries or an officer not below the rank of Joint Director of the Department of Fisheries, nominated by him

- A representative from the Fish Processing Industrialists, nominated by the Governing Council;
- A Fish Farmer representative , nominated by the Governing Council
- A representative of the Fishing Industrialists, nominated by the Governing Council

3. Institutional Animal Ethics Committee (IAEC):

- The Animal Ethics Committee will review and approve research projects involving animals, ensuring adherence to ethical standards. The Institutional Animal Ethics Committee comprises of 5 internal members recommended by the University and approved by Committee for the Purpose of Control and Supervision of Experiments on Animals(CPCSEA) and external members (4 no:s) nominated by CPCSEA .

Members of IAEC

1. Scientist in Charge of Animal House Facility- Chairperson
2. Biological Scientist (Internal Member)-Member Secretary
3. Scientist from different Biological Discipline (Internal Member)
4. Scientist from different Biological Discipline (Internal Member)
5. Veterinarian
6. Main Nominee of CPCSEA
7. Link Nominee of CPCSEA
8. Scientist from Outside Institute nominated by CPCSEA
9. Socially aware nominee of CPCSEA

4. Technology Transfer

Institute Technology Transfer Committee will be responsible for managing intellectual property, technology licensing, and facilitating collaborations with external partners for commercialization.

Code of Ethics for Research

As contributors to the academic community, researchers at our institution are expected to uphold the highest ethical standards in their pursuit of knowledge. The following Code of Ethics serves as a guiding framework for responsible and ethical research conduct

Integrity and Honesty

- Conduct research with integrity, honesty, and transparency, presenting findings truthfully and accurately.
- Avoid fabricating, falsifying, or plagiarizing research data, acknowledging the work of others appropriately.

Respect for Participants

- Prioritize the well-being, autonomy, and privacy of research participants.
- Obtain informed consent from participants, providing clear and comprehensive information about the research.

Impartiality and Objectivity

- Maintain impartiality in research design, data collection, and analysis, minimizing biases.
- Present results objectively without distortion or manipulation to favor a particular outcome.

Responsible Authorship

- Clearly attribute authorship based on significant contributions to the research.
- Acknowledge and cite the work of others appropriately, avoiding ghost or honorary authorship.

Compliance with Regulations

- Adhere to institutional, national, and international regulations governing research activities.
- Seek necessary approvals and ethical clearances before commencing research involving human subjects, animals, or sensitive data.

Conflicts of Interest

- Disclose any financial, personal, or professional interests that may influence the research process or outcomes.
- Take appropriate measures to manage and minimize conflicts of interest.

Data Management and Security

- Safeguard research data, ensuring its accuracy, reliability, and security.
- Share data responsibly, considering legal and ethical considerations.

Collaboration and Collegiality

- Foster a collaborative and collegial research environment, respecting the intellectual contributions of colleagues.
- Share knowledge and resources to enhance the overall quality of research outcomes.

Implementation Measures

To ensure the effective implementation of this Code of Ethics, the following measures will be instituted:

Inclusion in PhD Coursework:

- Incorporate the Code of Ethics into the research methodology coursework of PhD scholars, ensuring that ethical principles are an integral part of their training.

Institutional Animal Ethics Committee (IAEC):

- Establish and maintain an animal Ethics Committee responsible for reviewing and approving research proposals, monitoring ongoing projects, and addressing ethical concerns.

Plagiarism Check

- Implement robust plagiarism checks for all research outputs, including papers, thesis, project proposals and publications, to maintain academic integrity. The University Library shall maintain a plagiarism software accepted by the UGC for performing the plagiarism check of research publications /thesis/project proposals.

Research Council

- The Research Council will oversee the adherence to ethical standards, providing guidance on ethical dilemmas and promoting a culture of ethical research within the institution.

By embedding this Code of Ethics into our academic practices and implementing these measures, we aim to foster a research community characterized by integrity, responsibility, and a commitment to the highest ethical standards. Researchers, faculty, and students alike are expected to embrace these principles and contribute to the advancement of knowledge with the utmost ethical conduct.

ROLES AND RESPONSIBILITIES

The Directorate of Research plays a central role in steering and managing the research endeavors of the institution. Responsibilities include formulating and updating research policies, facilitating grant applications, overseeing ongoing projects, and ensuring compliance with ethical standards. The Directorate fosters collaboration, develops research infrastructure, and manages intellectual property. It actively supports capacity building, ethical conduct, and transparent communication within the university community. Additionally, the Directorate engages in knowledge transfer activities, evaluates research programs, and serves as an advisory body to university leadership. Through these responsibilities, the Directorate strives to create an environment conducive to impactful and ethical research, contributing to the institution's academic excellence and societal impact.

Director of Research: Director of Research shall be a full-time salaried officer of the University and shall be appointed by the University Governing Council in accordance with the Statutes. Director of Research will provide leadership to the Directorate of Research, overseeing the implementation of research policies and strategic planning. Coordinate and support various research activities, fostering collaboration, and ensuring adherence to ethical standards. Formulate and update research policies, facilitate grant applications, and manage research infrastructure. The Director of Research shall exercise such powers and perform such duties as may be conferred or imposed on him/her by the Statutes.

Principal Investigator (PI): Lead the design, execution, and management of research projects. Oversee project budgets, timelines, and resources, ensuring adherence to project goals. Provide regular updates on project progress, results, and challenges to relevant stakeholders.

Research Guide: Provide guidance and mentorship to research scholars, facilitating their academic and research growth. Oversee the progress of research projects, ensuring alignment with academic standards and objectives. Encourage collaborative research efforts and interdisciplinary approaches within the guidance of research scholars.

The Institutional Animal Ethics Committee Evaluate research projects for ethical considerations involving live animals, or sensitive data. Ensure that researchers adhere to ethical standards and regulatory requirements. Grant ethical approval for research projects following thorough reviews.

Institution Innovation Council: Encourage a culture of innovation within the institution, encouraging creative thinking and problem-solving. Provide support and resources for researchers

and students interested in entrepreneurial ventures. Facilitate collaborations between researchers, students, and industry partners to promote innovation and commercialization.

Research Support

This multifaceted approach of the University to resource provision underscores the institution's commitment to nurturing a thriving research culture and empowering both students and faculty members to make meaningful contributions to their fields of study. The institution is committed to providing robust support for research endeavors, catering to the diverse needs of its academic community.

For students at various academic levels, comprehensive support is offered through Junior Research Fellowship (JRF), Senior Research Fellowship (SRF), and Post-doctoral Fellowships (PDF), fostering an environment conducive to high quality research.

Financial assistance is extended to newly appointed faculty members through KARP to facilitate the initiation and advancement of their research pursuits, ensuring they have the necessary resources to establish themselves in their respective fields. Recognizing the significance of professional development, duty leave is granted to faculty members, enabling their participation in research and study programs, attendance at conferences, and engagement in exchange initiatives.

Research Planning and Strategy

Recognition for Good Research

Recognition for good research not only acknowledges individual achievements but also contributes to the overall research culture of the institution. Recognition for outstanding research is a cornerstone of our institution's commitment to fostering a vibrant research culture and three awards have been constituted in this regard 1) Award for Best Interdisciplinary Team Research in KUFOS 2) KUFOS award for best young faculty 3) KUFOS award for Best Research faculty

Noteworthy achievements are prominently featured in the university newsletter 'Challenger' and website, showcasing the impactful contributions of researchers. Additionally, outstanding researchers are honored at university functions, where their dedication and accomplishments are celebrated, reinforcing our commitment to research excellence.

Publication Policy

Scientific papers are the backbone of research and allow sharing and dissemination of one's research work with other scientists and to the wider scientific community, and society. As such, scientific papers are critical to the evolution of modern science, in which the work of one scientist builds upon that of others, and lead to the development of that discipline. Undertaking research is only half of the picture, because, if the results of research are not published and disseminated widely, peer scientists and the community cannot appreciate the value of the evidence generated, and so the development of science is hindered.

KUFOS is committed to generate quality research outputs in the form of publications across fisheries, ocean studies and allied areas and adhering to scientific integrity and maintaining highest quality and ethical standards in scientific publications. It is the policy of the University that high levels of academic integrity, moral as well as ethical conducts are maintained while publishing research results, as these have important consequences, and will significantly influence the development of the fisheries and ocean science sectors, while addressing the needs of the stakeholder communities.

The 'Publication Policy' of KUFOS is developed to define standards that must be maintained while publishing data in scientific outlets, and streamline measures for scientific publications for absolute enrichment of the sector. It comes into effect from January 2023 to research outputs generated by all members of the University who conduct research; undergraduate, postgraduate and PhD students, postdoctoral fellows, research and project staff, including outputs of their own research. In this Policy, the term "research" is broadly defined and is intended to include all forms of research and scholarship, whether or not supported by grants. This Policy also applies to all agreements entered into by the University in respect of research.

The Publication Policy of KUFOS includes the following points:

- (i) Authorship
- (ii) Predatory journals
- (iii) Scientific misconduct

- (iv) Regulatory approvals and ethical concerns
- (v) Conflict of interests and disputes

(1) Authorship

Authorship provides credit for a researcher's contributions in various sorts to a study which carries accountability.

a. Each author is expected to have made substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data; or the creation of new software used in the work; or have drafted the work or substantively revised it.

b. All authors are required to approve the submitted version (and any substantially modified version that involves the author's contribution to the study). They should also have agreed, both to be personally accountable for the author's own contributions and to ensure that questions related to the accuracy or integrity of any part of the work, even ones in which the author was not personally involved, are appropriately investigated, resolved, and the resolution documented in the literature.

c. The order of authorship should be based on the individuals' contributions to the work and drafting of the manuscript.

d. The corresponding author should be responsible for ensuring that data, materials, and code comply with transparency and reproducibility standards of the field and journal; ensuring that original data/materials/code upon which the submission is based are preserved following best practices in the field so that they are retrievable for re-analysis; confirming that data/materials/ code presentation accurately reflect the original; foreseeing and minimizing obstacles to the sharing of data/ materials/ code described in the work ensuring that all authors (or group leaders in multi-lab collaborations) have certified the author list and author contributions.

e. After acceptance, the corresponding author should be responsible for the accuracy of all content in the proof, including the names of co-authors, addresses and affiliations.

(2) Predatory Journals

- a. The University encourages its staff and students to publish papers in peer-reviewed journals of highest repute including those cited in SCI-Web of Science, Scopus, NAAS, UGC CARE List, and Directory of Open Access Journals/DOA], as well as journals and

periodicals published by bonafide organizations/societies and academic institutions. Only such publications shall be considered for career progression, increments, and for incentives.

b. KUFOS strongly discourages the publication of scientific outputs in predatory journals - also called fraudulent, deceptive, or pseudo-journals that claim to be legitimate scholarly journals, but misrepresent their publishing practices. Some common forms of predatory publishing practices include falsely claiming to provide peer review, hiding information about Article Processing Charges (APCs), misrepresenting members of the journal's editorial board, and other violations of copyright or scholarly ethics.

c. A useful database for identifying fake journals is <https://di.inkchecksubmit.org/> and this can be used by staff and students to make sure the journals where they submit their research results are credible and trustworthy.

(3) Scientific misconduct

The University strongly condemns any form of scientific misconduct in publications, or in research that result in publications.

(4) Regulatory approval and ethical concerns

Any research conducted at the University that leads to scientific publications should abide by the concerned clearance and regulatory bodies, as applicable.

(5) Conflict of interests and disputes

(a) Authors should explicitly disclose all relevant information that could potentially give rise to conflict of interests, including those of potential financial, non-financial, personal or other sources/nature. If no information needs to be declared, the authors must declare a no conflict-of-interest statement.

(b) Authors must disclose all relevant financial sources that supported the study. The financial sources along with the grant/ funding numbers and a brief description of the role of the funder must also be acknowledged in the manuscript.

(c) If a dispute or concern arises with regard to the publication including authorship, efforts should be made to resolve it through informal discussion among all concerned parties. If the dispute persists, the aggrieved party may refer the dispute for resolution to the Department Head, to the Dean of the concerned Faculty, to the Director of Research, and finally to the Vice Chancellor, whose decision will be final and binding.

Regulations for the Award of Ph.D Degree

The University shall strictly follow the KUFOS PhD Regulations 2018 published in the Kerala Gazette for the Award of Ph.D Degree (Appendix I). The regulations shall be revised as when required by Directorate of Research and approved by the University's Research Council.

APPENDIX I

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Government of Kerala
2020



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dated 5-9-2012 with RNI

Reg. No. KL/TV(N)/634/2018-20

കേരള ഗസറ്റ് KERALA GAZETTE

ആധികാരികമായി പ്രസിദ്ധപ്പെടുത്തുന്നത്
PUBLISHED BY AUTHORITY

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PART IV Private Advertisements and Miscellaneous Notifications

KERALA UNIVERSITY OF FISHERIES AND OCEAN STUDIES, PANANGAD

REGULATIONS FOR THE AWARD OF Ph.D. DEGREE

[Adoption: University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./ICAR/PH.D Degrees) Regulations, 2016]

Short Title

These Regulations of Kerala University of Fisheries and Ocean Studies (KUFOS) may be called “KUFOS Ph.D. Regulations 2018” (Minimum Standards and Procedure for Award of Ph.D. Degrees).

1. *Scope*

- 1.1 The regulations provided herein shall apply to studies leading to Ph.D. degree offered by the Kerala University of Fisheries and Ocean Studies from the Academic year 2018 onwards.
- 1.2 The regulations shall apply to every Research Centre approved by KUFOS, where research leading to Ph.D. is undertaken.
- 1.3 They shall come into force from the date of approval by the Academic Council of the KUFOS.

2. *Definitions*

In these regulations, unless the context otherwise requires:

- i. “Advisory Committee” means the Committee constituted to supervise the research program of the student.
- ii. “Board of Examiners” means the Board constituted for the conduct of comprehensive and final examinations for recommending award of the Ph.D. degree by KUFOS.
- iii. “Credit” is the weekly unit of work recognized for any particular course as per the course catalogue issued by the University. Normally, a lecture class of one hour or a practical class of two to three hours duration per week shall count as one credit.
- iv. “Dean” means Dean of the Faculty concerned.
- v. “Controller of Examinations” is an officer designated to discharge the duties and functions of examinations.
- vi. “Department” means a Department in a Teaching Institution offering academic programs. Scientists/ Teachers of a discipline working in research stations/schemes/projects will also be considered as members of the Department of the teaching institution concerned.
- vii. “Major Adviser” means the student’s adviser in his/her major field of study who shall also be the Chairperson of the Advisory Committee/Board of Examiners. “Minor Adviser” means Members of the Advisory Committee other than Major Adviser.
- viii. “Part-time Student” means a student who has been permitted to undertake a Ph.D. program on a part-time basis.
- ix. “Ph.D. Committee” means the Ph. D. Committee of the University.
- x. “Doctoral Student” is a student undergoing doctoral degree program on a full-time/part time basis. The studentship commences on the day of registration after payment of fee during the first semester and ends when he/she submits the thesis.
- xi. “Sponsored Candidate” is a candidate deputed by Development Departments, Research Institutions of National importance, Commodity Boards and other Government and Quasi-Government Institutions. The expenditure towards the doctoral program of such students be met by the sponsoring agency.

3. *Number of seats*

The maximum number of candidates to be admitted every year for the Ph.D. programs will be announced by the University, subject to the slots available as per UGC Regulation in force and facilities available.

4. *System of teaching*

The “course-credit system” of teaching shall be followed as prescribed by UGC from time to time, including days of examination and study leave. The medium of teaching shall be English.

5. *Recognized Institutions*

The University may decide to accord recognition in specified faculties, on the recommendation of the Academic Council, to a Research/Educational Institution under the control of Central/State Government as per the provisions of the Kerala University of Fisheries and Ocean Studies Act (2010) and the relevant statutes and ordinances in this regard, provided the University is satisfied that the Institution will be able to provide the required facilities to candidates to pursue their studies in the Institution for the degree of Doctor of Philosophy of the University in the Faculties concerned and to fulfil such other conditions that the University Governing Council may stipulate from time to time. The list of approved centres shall be available in the University website.

6. *Eligibility criteria for admission to Ph.D. Programme:*6 (a) **General stream**

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

- i. Candidates shall have a Master’s degree or a professional degree declared equivalent to the Master’s degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade ‘B’ in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree 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 for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- ii. Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade ‘B’ in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme.
- iii. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Government from time to time. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

6 (b) **ICAR stream**

- i. Master’s degree in the respective discipline/related discipline from the concerned faculty of ICAR (Indian Council of Agricultural Research) or a recognized equivalent qualification with an OGPA of 7.0/10 or equivalent OGPA/equivalent percentage of marks at Master’s degree. For SC/ST an OGPA of 6.5/10 or equivalent OGPA / equivalent percentage of marks at Master’s degree as per the recommendations of ICAR from time to time.
- ii. Reservation of seats shall be governed by the rules of State Government. 50% of the seats to be filled by ICAR through all India entrance examination. In the absence of ICAR candidates, the vacancy will be filled from the general category.
- iii. For General category (other than from ICAR), the condition under 6 (a) are applicable.

7. Admission of students to Ph.D programme

7 (a) **General stream**

- i. The admission shall be based on the criteria notified by the KUFOS, keeping in view the guidelines/norms in this regard issued by the statutory bodies concerned, and taking into account the reservation policy of the Central/State Government from time to time.
- ii. Candidates seeking registration to the Ph.D. program as full-time or part-time students, shall do so by submitting their applications in the prescribed form in response to the notification in this respect issued once a year by the University.
- iii. Candidates seeking admission under interdisciplinary/multidisciplinary research shall have to qualify in the CET (Common Entrance Test) for Ph.D programmes conducted by the University, once in a year.
- iv. The minimum qualifying marks for CET shall be 50% and 45% for SC/ST/O C (Non Creamy layer category). The syllabus of the CET shall consist of 50% of research methodology and 50% shall be subject specific. The CET shall be conducted at a Centre(s) notified in advance.
- v. The qualified candidates shall be called for an interview/ *viva voce*. The interview shall consider the following aspects, viz. whether:
 - (a) The candidate possesses the competence for the proposed research;
 - (b) The research work can be suitably undertaken at the Institution/College;
 - (c) The proposed area of research can contribute to new/additional knowledge.
- vi. The marks awarded for the selection is as follows; CET-50% qualifying degree- 30% and interview 20%.
- vii. The University shall maintain the list of all the registered students on its website on year-wise basis.
- viii. Candidates who are working in research projects taken up by a School/Department of the University, funded internally or by external funding agencies, shall be eligible for full-time or part-time registration. Candidates working in research projects taken up by recognized institutions shall be eligible only for full-time registration.
- ix. Candidates applying for registration as part-time students shall be considered for registration only in cases where the Research Committee (see Clause 19) is convinced that effective supervision can be ensured.
- x. The following candidates are exempted from CET and these candidates shall be ranked as per the norms laid down in Clause 16 of the regulations:
 - (a) Candidates who possess National/Kerala State research fellowships with valid score, with committed financial assistance at the time of seeking admission, in any of the National/State level eligibility tests conducted by the agencies recognized by the University.
 - (b) Candidates who have qualified UGC/NET Lectureship examination or GATE/ICAR/KSCSTE/CSIR/NBHM/ICSSR or M.Phil degree.
 - (c) Candidates who have been awarded research fellowships by the Government of India for pursuing a Ph.D. program in India.
 - (d) Foreign students who have minimum eligibility and assessed and approved by the Research Committee of the School/Department.
 - (e) Teachers of Universities/Aided Colleges in Kerala, teachers who are working in Government Institutions/Quasi Government recognized by KUFOS and Scientists in National Level Research Laboratories, with a minimum continuous service of five years as permanent employees.
 - (f) Candidates who are exempted from CET, however, are required to appear for the interview along with the candidates undergone entrance examination at the time of seeking admission.

- xi. The merit list published by the University is valid till the results of the next examination are published.
- xii. Candidates who come with any fellowship from State/ Central Govt. agencies shall be permitted to join at any time for Ph.D. programmes depending up on the availability of guide and facility.

7 (b) **ICAR stream**

- i. Selection of students will be done by a Doctoral Committee consisting of Director of Research, Dean, Head of concerned Department and Major Advisors. Changes can be made in the project proposal submitted by students subject to the approval of the committee. Those candidates who have qualified ICAR's SRF examination are recommended for admission to the Ph.D. program without appearing the CET.
- ii. The Directorate of Research shall make a list of successful students and upload in the University Website.

8. *Duration of the Programme*

- i. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years. Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.
- ii. For part time students the duration is, however, maximum seven years, subject to condition under Clause 18.

9. *Payment of fees*

9 (a) **General stream**

- i. Every research student shall be required to pay, the fees prescribed by the University at the beginning of each semester, failing which his/her name shall stand removed from the rolls if the default is more than 30 days after the due date.
- ii. Within a period of 30 days from the date of removal from the rolls, the candidate may be readmitted by the Director of the School/Research Institution on an application made by the candidate, duly recommended by the Research Guide and on payment of all arrears of fees, readmission fee and the fine as the University may prescribe from time to time.
- iii. In cases where the default in payment of fees exceeds 30 days and candidate fails to apply for readmission within the next 30 days he/she will be required to apply for readmission within 180 days, which shall be placed for consideration before the Research Committee. If the Research Committee is satisfied with the genuineness of the causes of delay, it shall be competent to take appropriate decision. A candidate who is in default of fees for more than 180 days from the due date, the registration shall remain cancelled.
- iv. Every research student shall submit a report of the progress of the research achieved and attendance certificate countersigned by the guide and Director / Recognized Institution during the previous semester before the payment of the next semester fees.

9 (b) **ICAR stream**

- i. The registration for a semester is valid only if the candidate remits the approved tuition fee and other fee, if any, for the semester. The details of remittance of fee (Receipt Number and date) shall be quoted in the Course Registration Card.
- ii. Part-time students who are employees of the university are exempted from payment of caution deposit, but they should pay the tuition fee prescribed and all other fee as per the decision of the University.
- iii. Part-time students registered for Ph.D. programme shall pay additional fee specified if their programme extends beyond twelve semesters.
- iv. Those who are granted extension beyond the maximum permissible time limit are required to remit a special fee over and above the normal fee which shall be fixed by the University.

10. *Research Supervisor/Guide*

(Eligibility criteria for a Research Supervisor, Co- Supervisor, Number of scholars permissible per Supervisor, etc.)

- i. Any fulltime regular Professor/Associate/Assistant Professor of the university or a scientist or a faculty in any recognised research institute with a Ph.D. degree and at least **three** research publications in refereed journals who has completed his/her probation may be recognized as Research Supervisor/guide.
- ii. Teachers of KUFOS and Scientists who are already functioning as Research Guides in the faculty concerned (including from Approved Research Centres of KUFOS) are *ipso facto* recognized as Research Guides in the Faculty concerned.
- iii. Recognition granted to Scientists/Teachers of Recognized Institutions coming under Clause 5 will cease to exist as soon as they retire from service, or are transferred outside the State of Kerala, or they take up employment in Institutions or are transferred to Institutions which are not recognized by the University. They will not be allowed to supervise fresh research scholars. The students already registered under them shall be allowed to continue research under their guidance.
- iv. An outstanding person with a Ph.D. degree who has substantially contributed in an area, whose service as Research Guide is considered to be of value to the University, may also be given recognition as a Research Guide under an appropriate Faculty on the recommendation of the Research Committee of the School concerned. There is no age limit for such outstanding academicians/scientists.
- v. A person is eligible to be recognized as a Research Guide under two Faculties of the University at the same time.
- vi. Co-Supervisor is allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.
- vii. In case of interdisciplinary / multidisciplinary research there shall be two Research Guides, one in his own subject and another in the area of the subject in which he combines his core subject.
- viii. In case where a recognised guide is not available in the University, the student can take any approved guide of KUFOS, from any of its approved centres. The student shall work in the department where admission is sought and will be under the control of the Head of the Department.
- ix. The Research scholar who has qualified CET has to get the consent of a suitable guide in concerned form prior to the interview.
- x. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

11. *Course Work: Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.*11 (a) **General stream**

- i. The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.
- ii. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.

- iii. The School/Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, of the research scholar.
- iv. All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies. The structure and details of course work shall be as follows:

<i>Course number and title</i>	<i>Credits</i>	<i>Marks</i>		
		<i>Continuous Evaluation</i>	<i>End Semester Examination</i>	<i>Total</i>
Course I: General Course Comprising of the broad areas of research	4	50	50	100
Course II: Topic specific to the core field of research	4	50	50	100
Course III: Research Methodology, Quantitative methods and computer applications	4	50	50	100
Course IV: Review of literature on topic of research and research proposal defence	4	50	50	100

- v. The Syllabi and titles for course I and II shall be prepared by the respective Doctoral Committee of the student and approved by the Research Committee.
- vi. The syllabus and title for Course III shall be formulated by the Research Committee. For Course IV, the Doctoral Committee shall guide/supervise and monitor the progress of the student periodically.
- vii. Continuous evaluation shall be done by the teachers offering the courses. Setting of the question papers and their evaluation for end-semester examination (except course IV) shall be carried out by a Board of Examiners nominated by the Research Committee. For Course IV, at the end of the semester, the student shall submit a report on the scope, relevance and purpose of the research work, its identified objectives, review of literature, research methodologies to be followed and expected outcome of the thesis work. The evaluation of Course IV shall be done by the Research Committee or a subcommittee nominated by the Research Committee at the end of the semester, through an open seminar.
- viii. All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- ix. Candidates 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. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- x. Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Director of Research.

- xi. A Ph.D. scholar has to obtain a minimum 7 OGPA or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.
- xii. Based on the marks obtained in the examinations, the students may be awarded grades as detailed below:
- (a) Minimum pass grade in a course shall be 6.00
- (b) Minimum OGPA to get Course completion certificate: 6.50

Overall performance at the end of the semester will be indicated by Grade Point. Average (GPA) calculated as follows:

$$\text{GPA} = \frac{G_1C_1 + G_2C_2 + \dots + G_nC_n}{C_1 + C_2 + \dots + C_n}$$

Where 'G' refers to the grade weightage and 'C' refers to the credit value corresponding course undergone by the student.

- xiii. Students who are not able to acquire a minimum grade of 6.0 in any course shall be given one more chance to complete the course work successfully. If he/she cannot acquire the required 16 credits within a period of 24 months from the date of his/her Ph.D. registration, his/her registration will be cancelled.
- xiv. If found necessary, course work approved by the Doctoral Committee may be carried out by the doctoral candidates in sister Schools in the University and Institutions recognized by the University.
- xv. The end semester examination for the scholars admitted at Approved Research Centre and the University will be conducted by the Controller of Examinations as per the syllabus in accordance to University Regulations.
- xvi. The Research Committee will scrutinize the grades awarded to the candidate in each course, finalize the results. On successful completion of the course work by acquiring 16 credits, the candidate shall be given a certificate of Course Completion by the University.

11 (b) **ICAR stream**

- i. Minimum credit requirement is as follows:

<i>Sl. No.</i>	<i>Credits</i>
1.0 Course work	
1.1 Major subject	15
1.2 Minor subject	08
1.3 Supporting subject	05
1.4 Seminar	02
1.5 Total	30
2.0 Comprehensive examination	Non credit
2.0 Thesis	45

- ii. The pattern of the comprehensive examination is as follows:
- Major subject: Two papers
 Minor subject: One paper
 Paper setting: External
 Evaluation: External
 Qualifying marks: 60%
- iii. Credit load in a semester
- (a) The maximum credit load, including the credit for research work, assigned to a full time Ph.D. student for a semester shall not exceed 20. Non-credit compulsory courses can be taken over and above the 20 credits.
- (b) Part-time students shall be permitted to take a minimum of 6 credits and a maximum of 9 credits per semester for research.
- iv. Evaluation of course work:
- (a) The evaluation of the students in a course shall be based on his performance in various examinations, submission of practical records, record of practical class work and performance in other types of exercises/assignments. The method of evaluation shall be announced at the beginning of the semester along with the course outline, a copy of which shall be communicated to the Head of the Department by the Course Teacher. The method of valuation for non-credit may be decided by the Course Teacher and announced in advance, at the beginning of the semester. The grade for non-credit courses will be S (Satisfactory) US (Unsatisfactory). Those students getting the grade US shall repeat the course until the grade is achieved.
- (b) Theory examination:
- Internal (conducted by the Course Teacher/Head of Department)
 Distribution of marks for theory examination:
 Mid-term examination : 20%
 Final examination : 80%
 Total : 100%
- (c) Practical examination
- Internal (conducted by a Committee consisting of Head of Department and Course teachers)
 Distribution of marks for Practical Examination:
 Regular practical class works : 20%
 Practical Records : 20%
 Viva voce : 10%
 Final practical exam : 50%
 Total : 100%
- v. Computation of Grade Point
- The total combined marks obtained by a student out of 100 for a course having credits 'a' for theory and 'b' for practical will be $\frac{ax+by}{a+b}$ where 'x' is the marks obtained for theory and 'y' is the marks obtained for practical, each out of 100. The grade point for a course is obtained by dividing the combined marks by 10 and correcting to the second decimal.
- vi. OGPA requirement for continuing studies:
- (a) Minimum pass grade in a course: 6.00
- (b) Minimum OGPA to obtain degree: 6.50
- Any student whose research work is reported unsatisfactory for a consecutive period of two semesters shall be removed from the rolls of the University.

vii. Absence from examination

- (a) A student who is absent from an examination shall be deemed to have scored zero in that particular examination. However, students absenting on account of being on deputation at the time of examination for the activities of the College/University by written order of the Head of Institution, may be given a supplementary examination. A supplementary examination may also be conducted if the candidate's absence was on account of bonafide reasons for which leave has been sanctioned by the Head of the concerned Department offering the course.
- (b) Supplementary examination shall be conducted only once and within five working days of the previous examination. A candidate who is unable to take the supplementary examination, even if the leave had been sanctioned on valid grounds shall be deemed to have scored zero. However, in deserving cases, based on the merits of each relaxation of this rule to conduct a supplementary examination within a reasonable time or to declare the course as Incomplete (I) instead of Failure (F) may be ordered by the Head of the Institution. Supplementary examination shall be conducted on prior sanction by the Head of Institution based on the recommendation of the Committee consisting of the Head of Department, a senior Professor of the concerned Faculty nominated by the Dean and the Professor-in-charge of the Academic Program in the concerned faculty.

viii. Grade reports

- (a) The Course Teachers are required to maintain the attendance and academic records of the students registered for the respective courses. At the end of the semester, the Course Teacher shall prepare the internal marks of midterm, final and practical examinations of various courses and report to the Head of the Institution within five days, with the counter signature of the Head of the Department. Head of the Institution shall send the marks to the University, within five days for publishing the results.
- (b) The Advisor shall fill up the Course-Registration-cum-Grade Cards (CRCG Cards) and forward the same to the Head of the Department, before the commencement of the next semester. The Head of the Department, after scrutinizing the grades entered shall forward the copy to the Academic Officer to Registrar/Controller of Examinations through Dean. It shall be the responsibility of Advisers to consolidate the grade reports of students under them.

ix. Withdrawal of course(s):

On recommendation of the Major Advisor/Chairperson, the Head of the Institution may permit a candidate to withdraw a course or courses during a semester within a period of 45 working days (excluding the day of registration) from the commencement of that semester. In such cases, the symbol (W) will be marked against the course in the grade report.

x. Addition of course(s):

On recommendation of the Major Adviser of the student, the Head of the Institution may permit a student to add a course or courses during a semester within a period of ten working days from the commencement of the semester.

xi. Repetition of course(s):

- (c) A student who has failed in a course may repeat that course in a subsequent semester when it is offered again or register as a re-examination course in any of the subsequent semesters as per rules.
- (d) A student getting 6.50 or less in a course, may if he/she so desires, may repeat that course to improve his/her OGPA.
- (e) When a student repeats a course, the previous grade obtained in that course is automatically cancelled.
- (f) Symbol "R" shall be shown in relevant records for repeated course and "RE" for re-examination course.
- (g) The credits assigned to a course in which a student has failed shall be taken into consideration in calculating OGPA.

- (h) A student who has secured above zero in a course during a semester may, if he/she so desires, register for re-examination course in the subsequent semester, provided he/she had satisfied the attendance requirement. However, students who obtained zero for particular course or who do not satisfy the attendance requirement, shall register for the course and attend classes when the course is offered again in the subsequent semester, after paying the fee as approved by the University.
- (i) For registering re-examination application shall be forwarded.

xii. **Valued answer papers**

- (a) The valued answer papers of internal examinations shall be returned to the student within 10 working days of the examination.
- (b) If a student wants to appeal against the marks awarded he/she shall then and there approach the teacher concerned for rectification of errors.
- (c) If a student wants to appeal to the higher authorities (Head of the Department offering the course) against the marks awarded he shall do so in writing along with the relevant answer papers, within three working days after the announcement of the result of the particular examination. If the Head of the Department himself is the course teacher the appeal may be made to the Head of the Institution. Appeals received after the stipulated period will be not considered.
- (d) The Head of the Department/Institution may constitute a committee consisting of at least three members of the Faculty who may advise him/her on the disposal of petitions or moderate the results in a particular course. The report of the committee in such cases should be submitted within two days, since the semester grades are finalized before the commencement of the next semester.

12. *Publication of Research paper:*

Every candidate shall be required to publish at least **TWO** research paper in a referred journal in the relevant subject, before submitting the thesis. A copy of the research paper or a letter of acceptance from the editor of the journal with a copy of the manuscript has to be submitted at the time of submission of synopsis of the thesis as given in Sub clause 21a.

13. *Change Research Guide:*

- (a) The Research Committee shall have the power to consider the request of a candidate to change his/her Guide or to have a Joint Guide provided that the request is supported by his/her guide and the prospective Joint Guide and the request is recommended by the Doctoral Committee. If the Research Committee gives assent to the request, the matter shall be reported to the Director of Research/University.
- (b) However, such request for change of Guide or Joint Guide shall be made at least six months prior to giving notice for submission of thesis for adjudication by examiners, provided that this limitation shall not be applicable in cases where the present guide is unable to continue supervision due to reasons of health, shifting of place of work/residence to a distant place, etc. candidate's giving notice for submission of the thesis for adjudication by examiners, provided.

14. *Change of Centre of Research:*

The Research Committee shall have the power to consider and give assent to the request of the candidate for change of the Centre of Research, provided the request is recommended by the Research Guide and the Doctoral Committee and is accompanied by a "no objection certificate" from the Head of the present and newly proposed recognized Centre of Research. Such instances of change in the Centre of Research shall be effected with the approval of the University.

15. *Change of Area of Research:*

- (a) A candidate who is registered for research shall be eligible to apply for the change of the topic or the area of research on payment of the prescribed fee and the Research Committee shall be competent to give assent to the request, which has been duly supported by the Research Guide and the Doctoral Committee and the University shall be informed accordingly. However, such an application for change of topic / the area of research shall be permitted only once during the period of registration, and further that the application for the same shall be made at least one year prior to the notice for submission of thesis.
- (b) In case area of research is substantially different, as decided by the Research Committee, the candidate shall have to pass the special subject as far as course work is concerned.

A candidate who is registered as a research student shall be eligible to request for approval or a change in the title of his/her thesis and the Doctoral Committee shall be competent to give assent to the request, provided that in the case of change in the title of research, the request shall be made at least one month prior to the submission of thesis.

16. *Conversion of Registration from full-time to part-time and vice versa:*

- (a) A candidate who is registered for the Ph.D Programme shall be eligible to apply for conversion of research work from full-time to part-time and vice versa. The Research Committee shall be empowered to grant the request, which is duly recommended by the research guide, and endorsed by the Doctoral Committee. In such cases the matter shall be reported to the University for Confirmation. In such conversion, the maximum period of registration will be as in the case of Part-time students.
- (b) Conversion from part-time to full-time or vice versa will be allowed only twice during the period of registration, after paying the required fee.

17. *Residency requirement and time limit:*17(a) **General stream**

- i. A candidate who is registered for the Ph.D. degree as full-time student and has completed the course requirements shall be eligible to submit his/her thesis for adjudication, on completion of two years of registration. In the case of part-time students, the minimum period of registration shall be three years.
- ii. A candidate who is registered as a full-time research student shall remain on the rolls of the University for a maximum period of six years provided that he/she satisfies the periodic progress and the dues are cleared as per rules. The Research Committee shall be competent to extend the period of registration for one more year at the recommendation of the Doctoral Committee and the Research Guide provided that the candidate has made satisfactory progress and the application for extension is made after paying the prescribed fee. However, the application should be submitted before the expiry of the registration period.
- iii. A candidate who is registered as a part-time research student shall normally remain on the rolls of the University for a maximum period of seven years after which his/her registration will lapse. The Research Committee shall be competent to extend the period of registration for one more year on the recommendation of the Doctoral Committee provided that the candidate has made satisfactory progress, and the application for extension is made after paying the prescribed fee before the expiry of the registration.
- iv. A candidate shall cease to be on the rolls of the University as research student as soon as his/her Open Defence is over, or from the date on which his/her registration is cancelled or lapses for other reasons.

17(b) **ICAR stream**

- i. Minimum residency requirement for Ph.D. programme is 6 semesters, excluding the period of discontinuance, if any. The maximum time limit for completing the requirements shall be twelve semesters for the Ph.D. programme including the period of discontinuance and the extension of joining time.

- ii. Part-time registration facility will be available to the teachers of KUFOS who are availing study leave/ eligible leave during the period of course work. As far as possible, in service candidates may join another University for their Ph.D. Programme.
 - iii. The student seeking extension of time beyond 6 semesters for submission of thesis shall normally submit the application at least one semester before the expiry of the maximum permissible time limit. Due recommendation of the Advisory Committee is a must for the extension of time.
 - iv. The extension shall be recommended only on medical grounds or failure of experiments due to loss of crop/animal or on similar grounds, which are to be supported by appropriate documents.
 - v. The Advisory Committee will evaluate such applications and if convinced that the student had made earnest effort on his/her part to complete the work within the approved time limit, shall recommend extension of residency period beyond 6 semesters.
 - vi. The request for extension of time for submission of thesis should contain the original request of the student, documentary evidences to justify the delay, the minutes of the Advisory Committee meeting and the remarks of the Director and Head of the Institution. A checklist in the prescribed proforma duly signed by the Major Advisor should also be submitted along with the request.
 - vii. The request for extension of time should specifically mention the number of semesters required to complete the programme. The maximum extension of time shall normally be limited to 2 semesters. The Advisory Committee shall ensure that the student will complete the work within the extended time limit itself. Minimum attendance need not be insisted in such cases.
 - viii. Discontinuance and re-admission
 - (a) A student may be permitted by the Head of the Institution on recommendation of the Advisory Committee and the Dean to discontinue his/her Ph.D. programme temporarily on valid grounds and shall be intimated to Registrar. The student may re-join after the specified period of discontinuance on payment of the approved re-registration fee. No student who has completed the Course credit and Research credit will be allowed temporary discontinuation in any of the subsequent semesters.
 - (b) On no account shall a student, who discontinued his studies without the orders of the Head of the Institution, be re-admitted.
18. *Monitoring of progress of Ph.D. students:*
- 18(a) **General Stream**
- i. There shall be a Research Committee or an equivalent body and a Doctoral Committee for similar purpose as defined in the Statutes of the University, for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of such Committees.
 - ii. In the case of a University/School, the Director of the School concerned in consultation with the Research Guide shall constitute the Doctoral Committee with the Research Guide as Convener, the Joint Guide, if any, and an approved Research Guide from the same or allied area in the University/Research Centre as Members. In cases where qualified guides are not available in the University, qualified personal from other National Institutes/ Universities shall be co-opted with appropriate justification from the Faculty/Doctoral Committee and approval from the Competent Authority.
 - iii. In the case of a Recognized Institution, the Head of the Recognized Institution in consultation with the Research Guide shall constitute the Doctoral Committee with the Research Guide as Convener, the Joint Guide, if any, and an approved Research Guide from the same or allied area in the University and the Head of the Institution as members. This Committee shall have the following responsibilities:
 - (a) To review the research proposal and finalize the topic of research;
 - (b) To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.

- (c) To prepare syllabi and panel of question paper setters/examiners for the course work, make recommendations on matters such as the Conversion of registration from full-time to part-time or vice versa, granting leave of the candidate for short term assignments, training, etc. and (c) cancellation of registration in case of unsatisfactory progress, unethical practices in research committed by the student, or misconduct of the student.
- (d) The Doctoral Committee shall be responsible for the preparation of the Panel of Experts for the evaluation of the thesis.
- iv. The Research Committee shall have the Head of school/ organisation/ centre as chairman, the Dean of the faculty as member. All the research guide of the school/ organisation/ centre shall be the members of the research committee.
- v. A research scholar shall appear before the Doctoral 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 shall be submitted to the Institution/ University through the research committee with a copy to the research scholar.
- vi. In case the progress of the research scholar is unsatisfactory, the Research Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

18(b) **ICAR stream**

- i. For every student admitted to Ph.D. programme, there shall be an Advisory Committee appointed by the Head of the institution. Constitution of the Advisory Committee will be as per the guidelines issued by the University from time to time. The Committee shall consist of Chairperson, Dean of the Faculty and two Members from the same Department or from other Departments or outside who can guide in relevant part of research work. To be a Chairperson of Advisory Committee, the teacher should have a Ph.D. degree.
- ii. The Chairperson of the Advisory Committee in consultation with the student and other Members of the Committee shall prepare the course programme and the same shall be forwarded by the Chairperson through the Head of Institution within 60 days of admission of the student, for approval. The approved course program shall be forwarded to the Director of Research by the Dean of faculty. The Advisory Committee may meet and review the progress of the work of the student periodically, at least, once in a semester. The proceedings of the meeting shall be noted and a copy of the proceedings shall be forwarded to the Head of Institution and the University.

19. *Attendance*

19(a) **General stream**

- i. Notwithstanding anything contained in these regulations, a candidate who comes under the National/State or such other fellowship or scheme/project etc., shall be governed by the respective rules governing the award of such fellowship/scheme/project, regarding attendance, leave, etc.
- ii. A student registered as full-time research student will be required to have at least 75% attendance in every semester failing which his/her name shall be removed from the rolls of the University subject to the provisions under sub clauses 19a(iii), (iv), (v) and (vi), below
- iii. The Research Committee shall be empowered to condone the shortage of attendance up to 5% on an application made by the student, duly recommended by the Research Guide and endorsed by the Doctoral Committee.

- iv. A Research student will be eligible to participate in conference/seminars/symposia specialized training programmes connected with his/her area of research or participate in research cruises or visit other places for collecting data, and such days when they were away from the Department or Recognized Institution, including days of travel, shall count for attendance or for periods of being in residence at the University, if they have been duly authorized to do so by the Research Guide with intimation to the Head of the Department.
- v. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil/Ph.D. for up to 240 days.
- vi. Part time research scholars should complete successfully the course work within a maximum period of two years of registration. In the remaining period of research, minimum 60 days attendance is necessary each year.

19(b) **ICAR stream**

- i. Minimum attendance requirement for each course shall be 75%. An additional 5% absence will be permitted to students who are deputed for university level competitions, coaching camps etc., over and above the present 10% absence permitted for attending official duties approved by authorities. Attendance need not be insisted in cases of those students who have completed course work and research credits successfully and applied for extension of time for thesis submission.

20. *Submission of the Thesis*

20(a) **General stream**

- i. The thesis shall be written in English and should conform to the format and standards prescribed by the University from time to time.
- ii. The candidate shall submit five copies of the synopsis prepared in English to be used in the thesis, and conforming to the specification prescribed by the University along with a CD containing soft copy of the Synopsis in PDF format at least one month before the submission of the thesis.
- iii. The Panel of Experts prepared by the Doctoral Committee shall be forwarded to the University through the concerned Director. In the case of recognized institutions, panel of experts prepared by the Doctoral Committee shall be submitted to the Director of Research by the concerned Head of Institution forwarded through the Dean of the Faculty concerned. The panel should contain names of at least ten experts not below the rank of an Associate Professor of a University or an equivalent rank in a reputed research institution. At least five experts of this panel should be from outside the State/Country.
- iv. A candidate proposing to submit the thesis shall inform the University at least one month in advance and such intimation shall be accompanied by a certificate from the Director that he/she has presented the salient features of the proposed thesis in a pre-submission Seminar in the Department. The request shall be accompanied by:
 - (a) Synopsis
 - (b) Copy of the Grade cards in respect of the Ph.D. course work.
 - (c) Copy of at least one published research papers/letter of acceptance with copy of the manuscript along with a certificate from the Doctoral Committee to the effect that the paper is published in a referred journal.
 - (d) Attendance certificate
 - (e) A certificate from the Director/Recognized Institution stating that the candidate has presented his/her pre-submission synopsis seminar.
 - (f) Recommendation of the research guide to the effect that the work of the candidate is adequate and complete for the award of the Ph.D. degree.
 - (g) Evidence of having paid the required fees prescribed by the University.

- v. The candidate shall submit the thesis after the expiry of one month from the date of notice, but within a period of six months. The delay in submitting the thesis beyond six months, but within one year may be condoned by the Research Committee on the recommendation of the Doctoral Committee. The Vice Chancellor may condone delay for as further period of six months in exceptional cases, provided further that the candidate shall submit his/her thesis only during the period of his/her registration.
- vi. The candidate shall submit to the University (Director of Research) five copies of the thesis, printed or typed clearly in the format prescribed by the Faculty concerned along with a CD containing soft copy of the thesis in PDF format. One hard copy shall be deposited with the Director for display in the Department/Recognized Research Institution one week preceding the Open Defence.
- vii. A thesis shall be accompanied by the following:
 - (a) A declaration signed by the candidate to the effect that the thesis is the outcome of the original work done by the candidate and that the work did not form part of any dissertation submitted for the award of any degree, diploma, associate ship or any other title or recognition from any University or Institution.
 - (b) A certificate by the Research Guide(s) to the effect that to the best of his/her/their knowledge the thesis is a bonafide record of research work carried out by the candidate under his/her/their supervision.
 - (c) A certificate from the Research Guide to the effect that all relevant corrections and modifications suggested by the audience during the pre-synopsis Seminar and recommended by the Doctoral Committee of the candidate have been incorporated in the thesis.
 - (d) An appendix containing research articles published by him/her, alone or jointly with others, on the same area of study as additional evidence of the research work done by the candidate.

20 (b) **ICAR stream**

- i. The student shall be allowed to submit the thesis duly certified and signed by Members of the Advisory Committee, on any day after completion of 75% of working days in the last semester, satisfying the minimum residential requirements. If this is not possible, he/she shall be permitted to submit his/her thesis within the maximum permissible time limit (including the extended time limit, if any, subject to the condition that he/she should register for every intervening semester till the submission of the thesis with zero credit or till the expiry of the authorized time limit for submission of thesis.
- ii. The Academic Council may permit extension of time limit by a maximum of two semesters over and above the normal permissible maximum time subject to guidelines approved for this purpose. Such students are required to remit the special fee at the approved rate over and above the normal fee for each of the extended semester.
- iii. A Ph.D. student before submitting his/her thesis should present the synopsis of the same in a Seminar of the Faculty members and PG students of the college concerned. Scientists from other related Institutions of education and research may also be invited for the Seminar. Members of the Faculty can suggest changes in the thesis and the Advisory Committee may consider the suggestions on merits and advise the student accordingly.
- iv. A Ph.D. student can submit his/her thesis only after producing the proof of acceptance of two research papers based on the research work, for publication in a referred journal.
- v. Copies of the thesis prepared in a word processor and loosely bound and conforming to the general instructions for the preparation of the thesis duly approved by Advisory Committee shall be submitted by the student to his/her Adviser. A proposal for appearing for the final examination, with details of examination fee remitted, shall also be submitted at the time of submission of thesis.
- vi. The thesis shall be signed with date by the Chairman and all the Members of Advisory Committee before submission, and forwarded to the Director of Research in the University. Three copies are to be submitted for sending to the external examiners for evaluation.

21. *Procedure for adjudication of the thesis*21(a) **General stream**

- i. The thesis will be subjected to "Plagiarism" check by the authorised officer in the University library in accordance to the guidelines stipulated by the UGC in this regard and the results will be attached to the Thesis. Thesis conforming to the requirements shall be forwarded to examiners for evaluation.
- ii. The thesis to be adjudicated shall be forwarded to three external examiners nominated by the Vice Chancellor from the Panel of Experts, as given in Sub-clause 20.a.(iv) above, of which at least four shall be from outside the State/Country.
- iii. (a) Each examiner shall be requested to send a separate individual report on adjudication of the thesis, wherein it shall be specifically stated, whether or not the examiner recommends the award of the degree based on the written thesis, with reasons for the Recommendation. If the thesis does not meet the standard expected of a Ph.D. thesis, the thesis may be rejected.
(b) In the event of the receipt of the evaluation reports of any two examiners recommending the thesis for the award of Ph.D. degree, the University shall make arrangements for the conduct of the Open Defence and Viva Voce examination as given in Clause 21a(iii) below, without waiting for the third report.

In the event of one examiner recommending the thesis for the award of Ph.D. degree and the other examiner rejecting it, the report of the third examiner will also be considered. If the third examiner recommends the award, Open Defence and Viva Voce examination shall be conducted. If the third examiner rejects the thesis, the Ph.D. degree will not be awarded to the candidate.
- (c) But if any of the examiners suggests resubmission of the thesis, after revision, the candidate may resubmit the thesis incorporating the changes proposed by the examiner(s) after a period of six months and on payment of such fees as may be prescribed by the University. On resubmission, the thesis shall again be sent for adjudication as far as possible to the same examiner(s) who had adjudicated it earlier and recommended revision. If the same examiner(s) is (are) not available, another examiner(s) shall be selected by the Vice Chancellor from the same panel.
- (d) The candidate shall have no further chance for resubmission of the thesis and the decision to accept or reject the thesis at this stage shall be final.
- iv. If any two examiners recommend for the award of the Ph.D. degree, the University shall make arrangements for the conduct of Open Defence and Viva Voce examination. The Open Defence/Viva Voce Board shall consist of the Dean of the Faculty under which the candidate is registered, as Chairman and any one of the examiners nominated by the Vice Chancellor, from the Panel of Examiners prepared for the adjudication of the thesis, the Research Guide and Joint Guide, if any, as Members.
- v. The Open Defence and Viva Voce examination shall be held at a place and time decided by the University after making prior announcement of the same, and after issuing the notice to all the Schools of the University/Recognized Institutions coming under the Faculty, sufficiently in advance.
- vi. During the Open Defence of the thesis, the candidate has to explain the motivation and relevance of the work, innovation in methodology and salient features of the findings. He/she shall satisfactorily answer the questions put forward by the audience. This shall be followed/preceded by an in camera Viva Voce examination conducted by the Viva Voce Board.
- vii. The Chairman (Dean of the Faculty) and the external expert shall necessarily be present at the Open Defence and Viva Voce examination.
- viii. If the Viva Voce examination is not held on the scheduled date, the candidate shall be required to be present for the Open Defence and Viva Voce examination on a subsequent date, as intimated to him/her.
- ix. If, in the opinion of the Viva Voce Board, the candidate is successful in the Viva Voce examination and has defended his/her thesis satisfactorily in the Open Defence, the Board shall prepare a consolidated report and present it to the University recommending the award of Ph.D. degree.

The candidate shall submit the hard bound copy of the thesis along with a soft copy in PDF format after incorporating all corrections/suggestions made by the examiners. The Research Guide shall give a certificate stating that all corrections have been made in the final copy of the thesis.

- x. If, in the opinion of the Viva Voce Board, the candidate is not successful in the Viva-Voce examination, the candidate shall be given an additional opportunity after one month for the Open Defence and Viva Voce examination after payment of the prescribed fee.

21(b) **ICAR stream**

- i. The thesis to be adjudicated shall be forwarded to three external examiners nominated by the Vice Chancellor from the Panel of Experts submitted by Major Adviser., as given in Sub-clause 28(iv) above, of which at least four shall be from outside the State/Country.
- ii. (a) Each examiner shall be requested to send a separate individual report on adjudication of the thesis, wherein it shall be specifically stated, whether or not the examiner recommends the award of the degree based on the written thesis, with reasons for the recommendation. If the thesis does not meet the standard expected of a Ph.D. thesis, the thesis may be rejected.
- (b) In the event of the receipt of the evaluation reports of any two examiners recommending the thesis for the award of Ph.D. degree, the University shall make arrangements for the conduct of the Open Defence and Viva Voce examination as without waiting for the third report. In the event of one examiner recommending the thesis for the award of Ph.D. degree and the other examiner rejecting it, the report of the third examiner will also be considered. If the third examiner recommends the award, Open Defence and Viva Voce examination shall be conducted. If the third examiner rejects the thesis, the Ph.D. degree will not be awarded to the candidate.
- (c) But if any of the examiners suggests resubmission of the thesis, after revision, the candidate may resubmit the thesis incorporating the changes proposed by the examiner(s) after a period of six months and on payment of such fees as may be prescribed by the University. On resubmission, the thesis shall again be sent for adjudication as far as possible to the same examiner(s) who had adjudicated it earlier and recommended revision. If the same examiner(s) is (are) not available, another examiner(s) shall be selected by the Vice Chancellor from the same panel.
- (d) The candidate shall have no further chance for resubmission of the thesis and the decision to accept or reject the thesis at this stage shall be final.
- iii. If any two examiners recommend for the award of the Ph.D. degree, the University shall make arrangements for the conduct of Open Defense and Viva Voce examination.
- (a) The external examiners shall send their reports to the Controller of Examinations within 60 days of receipt of the thesis. He will forward copy of the reports with evaluated thesis to the Chairperson of the Advisory Committee for making arrangements for the final Viva Voce examination or for modifications as suggested by the Examiner(s).
- (b) The Chairperson shall advise the student, if necessary, to revise the thesis incorporating the suggestions of the External Examiner(s). Five copies of the revised thesis shall be presented by the student to the Board of Examiners at the final Viva Voce examination.
- (c) If the thesis is not accepted, the candidate shall be permitted to resubmit his/her thesis after a minimum period of one semester during which interval he/she may repeat his/her research work wherever necessary and modify or correct the thesis in accordance with the observations made by the External Examiners.
- (d) A candidate shall not be permitted to submit his/her thesis for the degree on more than two occasions and if the thesis is not approved on the second occasion, the candidate shall not be awarded the degree and his/her name shall be removed from the roll.
- (e) The final Viva Voce examination shall be conducted normally within three months after the submission of thesis by the candidate.

- (f) The Board of Examiners for conducting the final Viva Voce examination shall consist of the Chairperson and Members of the Advisory Committee and one External Examiner who evaluated the thesis. The Chairperson of the Advisory Committee shall act as the Chairperson of the Board of Examiners also. In case there is a difference of opinion between the External Examiner and other members of the Board of Examiners, the matter will be reported to the University, for a decision.
- (g) The general guidelines issued for the conduct of examinations shall be followed for the conduct of final Viva Voce examination also.
- (h) If any of the members of the Board of Examiners fails to turn up on the date fixed for the examination, the Head of the Institution shall appoint a suitable substitute examiner and report to the University.
- (i) Thesis work may be graded as satisfactory or unsatisfactory.
- (j) Based on the reports for the External Examiner(s) who evaluated the thesis and on the performance at the final Viva Voce examination, the Board of Examiners shall declare whether the thesis is approved or not. Only on the approval of the thesis by duly signing on the thesis with date by all members of the Board of Examiners, the candidate becomes eligible for the award of the degree. The decision of the Board of Examiners shall be communicated to the University through the Head of the Institution.
- (k) Out of five copies of the corrected and bound thesis, one copy shall be sent to the University along with the report of examination and the evaluation reports of the thesis furnished by the External Examiner(s), one copy is to be returned to the student and one copy each to be given to the School, General Library and to the Chairperson. One soft copy of the thesis shall be submitted by the student and forwarded to the University, along with the thesis.
- (l) The Chairperson shall submit a Certificate to the effect that all the corrections suggested or pointed out by the External Examiner(s) have been attended to. He shall also submit his own report on the suggestions of the Examiners.
- (m) If the performance of the student in the final Viva Voce examination is unsatisfactory, the candidate has to appear for a re-examination after 60 days. The reasons for unsatisfactory performance shall be recorded in the report of the Board of Examiners.
- (n) The University shall have the full right to publish the thesis in any media including electronic media and to transmit the same to the online system. The IPR rights of the inventions made/technology developed shall remain with the University. In the case of thesis brought out from externally funded projects, the rules pertaining to publication of such funding agencies have to be considered.

22. *Issue of Certificate/Transcript*

- i. On receipt of the intimation of the approval of thesis and the report of final Viva Voce examination from the Head of Institution, together with a copy of the approved thesis, the University shall take further action to award the degree to the candidate.
- ii. The Vice Chancellor shall approve the final results and the University, shall issue provisional certificate and transcript to the candidate. The student shall apply for the issue of Provisional/Degree Certificate and/or transcript.

23. *Amending/Cancellation of results*

If it is established that the result of a candidate has been vitiated by malpractice, fraud or other improper conduct and that he/she, in the opinion of the Vice Chancellor, has been a party to or connived to malpractice, fraud or improper conduct, the Vice Chancellor shall have the power at any time, notwithstanding the award of a certificate, scholarship or degree, to amend the results of such a candidate and to make such declaration as the Vice-Chancellor may deem necessary to that effect including withdrawal of prize, scholarship money and debarring the candidate from the University for such periods as may be specified and the cancellation of results of the candidate in such manner as the Vice Chancellor may decide.

24. *Publication of the thesis*

- i. The contents of the thesis can be published with a footnote that they are based on thesis accepted by the Kerala University of Fisheries and Ocean Studies for the award of Ph.D. degree. Research papers based on the results of the Ph.D. research can be published by the candidate prior to the submission of the thesis. Copies of the paper(s) so published should be attached to the final thesis. If the paper is accepted for publication, the same may also be mentioned in the Certificate to be given at the beginning of the thesis.
- ii. If the researcher publishes the paper of the Ph.D. thesis after joining other institutes, the affiliation may be shown as KUFOS and the present address given separately.
- iii. A candidate who has been awarded the Degree of Doctor of Philosophy shall be free to publish his/her thesis with a proper acknowledgement to the University. A copy of the thesis so published shall be given by the candidate to the University.

25. *Penalty for unauthorized discontinuance*

In case a student discontinues the Ph.D. program without permission, he/she has to remit to the University an amount as decided by the University, towards liquidated damages.

26. *Removal of difficulties*

- i. If any difficulty arises in giving effect to the provisions of these regulations, the Vice Chancellor may issue necessary orders, which appear to him to be necessary or expedient for removing the difficulty.
- ii. No order under Rule 26(i) shall be questioned on the ground that no difficulty as is referred to in the said rule existed or was required to be removed.
- iii. Every order issued by the Vice Chancellor under this provision shall be laid before the next Academic Council of the University for ratification.

27. *Depository provision*

- i. Following the successful completion of the evaluation process the department concerned shall submit an electronic copy of the thesis for hosting the same in the database to make it accessible to all institutions.
- ii. Before the actual award of the degree, the University shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016/provisions of the KUFOS.

(Sd.)
Registrar.