

**REGULATIONS FOR RESEARCH  
PROGRAM LEADING TO AWARD  
OF Ph.D. DEGREE  
2020 ONWARDS**



**ST. ALBERT'S COLLEGE (AUTONOMOUS)  
ERNAKULAM**

## CONTENTS

No.	Title
1.	Introduction
2.	Definitions and Nomenclature
3.	Eligibility for Admission
4.	Entrance Test
5.	Categories of Ph.D. Candidates
6.	Registration Procedure
7.	Duration of Ph.D.
8.	Eligibility Criteria for Supervisors and Co-Supervisors
9.	Relocation / Transfer of Research Work
10.	Research Committees and their Functions
11.	Course Work
12.	Semester Registration
13.	Monitoring the Progress of Candidates
14.	Cancellation of Registration
15.	Criteria for Pre-Submission of Thesis
16.	Pre-Submission of Thesis and Synopsis
17.	Final Submission of Thesis & Thesis Adjudication
18.	Defense of Thesis / Oral Examination
19.	Award of Ph.D. Degree
20.	Publication of Thesis
21.	Plagiarism
22.	Change of Regulations
23.	Format for Research Proposal / Proposal (Appx —A)
23.1.	Cover Page (Annex—I to Appx—A)
23.2.	Certificate of Supervisor/Co-Supervisor(Annex—II to Appx —A)
24.	Forwarding Note for Pre-Submission of Ph.D. Thesis (Appx—B)
24.1.	Format for Submission of Pre-Ph.D. Synopsis(Appx—C)
24.2.	Pre-Submission Report on the Thesis Title (Annex—I to Appx - C)

- 24.3. Certificate (Annex—II to Appx—C)
1. Format of Thesis (Appx—D)
  - 1.1 Cover Page (Annex—I to Appx—D)
  - 1.2 Certificate (Annex—II to Appx—D)
  - 1.3 Acknowledgment (Optional) (Annex—III to Appx—D)
  - 1.4 Declaration of Originality of Research Work and Thesis by the Student and Supervisor (Annex—IV to Appx—D)
  - 1.5 Plagiarism Verification Certificate (Annex—V to Appx—D)
2. Any other data, material too lengthy for inclusion in the body of the study (e.g. questionnaires, maps, etc.) (Appx-I)
3. List of papers communicated/accepted/published/presented (Appx—II)
4. Copies of acknowledgement / acceptance letters in case the papers are communicated / accepted (Appx—III)
5. Brief bio-data of Researcher (one page) (Appx—IV)

# **ST. ALBERT'S COLLEGE (AUTONOMOUS)**

## **Regulations for Research Program Leading to Award of**

### **Ph.D. Degree - 2020**

#### **1. INTRODUCTION**

St. Albert's College (Autonomous), follows the minimum guidelines for Ph.D. Programme prescribed by the University Grants Commission (UGC) to produce quality research leading to Ph.D. Degree. Presently, St. Albert's College (Autonomous) hosts Ph.D. programmes in varied fields covering Technology, Sciences, Arts, Humanities and Social Sciences. All procedures and modalities pertaining to St. Albert's College (Autonomous) Ph.D. programme have been documented as "St. Albert's College (Autonomous) Regulations for Research Program Leading to Award of Ph.D. Degree - 2020".

Research Programme at St. Albert's College (Autonomous) will be controlled by the Principal through the following committees:

- (a) Research Council(RC)
- (b) Department Research Committee (DRC).
- (c) Doctoral committee for each candidate (DC).
- (d) Board for Examination for Ph.D. (Defense Committee) for each candidate.
- (e) Research Ethics Committee (REC)

A Summary of the registration process, research work and award of Ph.D. degree is presented in the table below and the details follow after the table:

#### **Summary of the Process of Registration, Research Work and Submission & Approval of Thesis for Award of Doctor of Philosophy**

##### **Before Registration**

- Appear for Ph.D. Entrance Test unless exempted.
- Appear for Personal Interview
- Selection/allocation of the guide.
- Provisional Registration.
- Completion of Coursework.
- Presentation of proposal to Department Research Committee.
- Presentation of proposal to DC at College.
- Modification of proposal as per DC/DRC recommendations.
- Submissions of modified Proposal to Controller of Examinations (CoE).
- Confirmation of Registration.

### **After Confirmation of Registration**

- Ph.D. Research Work at designated Department.
- Present Progress Seminar to DC once in every Semester (every six months).
- Recommendation by DC regarding continuation, mid-course correction or discontinuation depending on progress and quality of work after every six monthly progress presentation.
- In case the DC at any stage during the research work feels that the candidate is not making sufficient progress or is not likely to complete his/her Ph.D. for any reason, the DC, in consultation with the Guide, may recommend to Governing Body of the College (through RC and DRC) discontinuation of research work and cancellation of registration of the candidate.
- Candidates have to publish a minimum of two research papers in UGC listed peer reviewed journals with the permission of the supervisor.

### **After Completion of Research Work**

- After completion of sufficient research work and specified minimum period after registration, if satisfied, supervisor(s) recommends writing of Pre Synopsis Report by the candidate.
- Presentation of Pre-Synopsis Report to DC.
- DC may recommend further work if not satisfied or may recommend writing of Synopsis and thesis if satisfied. Recommendation of DC will also be sent to RC.
- On approval by DC, the candidate will submit ten copies of the synopsis duly signed by the Supervisor(s) to RC, St. Albert's College (Autonomous) within one month.
- The candidate will submit a No Dues Certificate regarding clearance of all dues to the college before submitting the thesis
- The candidate will submit eight copies of the thesis (along with the soft copy) to RC, St. Albert's College (Autonomous) within three months of submission of synopsis,
- A plagiarism verification certificate from the College Library has to be enclosed along with the thesis (as per Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions Regulations). A copy of the same may also be submitted to REC.

### **After Submission of Synopsis and Thesis at St. Albert's College (Autonomous)**

- CoE sends the synopsis to three reviewers selected by him/her for their consent to review the thesis of the candidate. One of the reviewers may be from outside the country.
- On receiving consent of the reviewers, CoE sends the thesis to the reviewers for review, asking them to review the thesis and send their comments, in the prescribed format, within 45 days. Polite reminders will be sent to the reviewer's every 15 days after expiry of 45 day still they send the reviews. In case a reviewer fails to send the review within six months, CoE may identify another reviewer and send the thesis for review.
- On receipt of reviews from any two of the three reviewers, if both the reviewers have recommended the thesis for award of Ph.D., the CoE in consultation with the Principal

Instruct the RC to organize an Open Defense of the thesis. The Committee for Defense will comprise members of DC, DRC & RC, minimum one external examiner who will normally be one of the reviewers and the supervisor(s).

- In case of recommendation for additional work/major modifications to the thesis, RC will advise the candidate and the supervisor(s) to do further work/modifications as the case may be, in consultation with DRC, and ask him/her to resubmit the thesis after complying with the instructions.
- In case of non-recommendation of the thesis for award of Ph.D., RC will advise the candidate and the supervisor(s) to do further work/modifications as the case may be, in consultation with DRC, and ask him/her to resubmit the thesis after complying with the instructions.

### **On Successful Defense of Thesis**

- On successfully defending the thesis and recommendation of the Defense Committee, the candidate will be eligible for award of Degree of Doctor of Philosophy (Ph.D.) on the day of Defense. On receiving the recommendation of the Defense Committee, the CoE will inform the Registrar who in turn will issue a provisional certificate to the effect that the candidate has successfully defended his thesis and has been declared eligible for the award of Ph.D. Degree. The provisional certificate will also state that the certificate has been issued in accordance with the provisions of UGC Regulations for Award of Ph.D. - 2016.
- The candidate will be awarded the Ph.D. Degree during the next convocation.

## **2. DEFINITIONS AND NOMENCLATURES**

- 2.1. "Department Research Committee (DRC)" consists of Head of the Department as the Chairperson, Department Research Coordinator, a senior faculty member of the Department, at least one faculty member from another Department and all the research supervisor (s) approved by the RC. The committee so selected will be student specific.
- 2.2. "Doctoral Committee (DC)" consists of the Heads of the Department as Chairperson, a nominee from RC, Minimum one Senior Faculty from the department, an external expert depending on the research proposal and research supervisor / co-supervisor(s) of that candidate.
- 2.3. "Research Council (RC)" consists of Principal as the Chairperson, Dean (Research) as Coordinator, Deputy Dean (Research) as the Secretary, Chairpersons of DRC and Controller of Examinations (CoE), a minimum of 2 external experts nominated by the Governing Body of the College, Research Supervisor / Co-supervisor(s) as the special invitees and any other invitee subject to approval of the Chairperson, RC.

### **3. ELIGIBILITY FOR ADMISSION**

A candidate seeking admission to the Ph.D. Program of St. Albert's College (Autonomous) should:

- 3.1. Have a two year Master's degree or its equivalent from any recognized University or Institute with a minimum of 55% marks. The degree should be relevant to the school/department to which he/she applied for Ph.D. In case of candidates holding a qualifying degree from Foreign Universities, registration for the Ph.D. will be confirmed after determination of equivalence by the relevant University body.
- 3.2. 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 direction of the UGC 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.
- 3.3. Foreign students will be required to produce clearance from the Government of India/relevant authorities, for being considered eligible and hold research visa for a min. period of three years or extendable to min. two years or more.

NOTE: The eligibility criteria prescribed in this section are the absolute minimum.

### **4. ENTRANCETEST**

- 4.1. St. Albert's College (Autonomous), holds Ph.D. entrance test once a year in the month of April/May. Examination schedule with available vacancies and areas of research will be notified in the College website.
- 4.2. Candidates desirous of pursuing Ph.D. degree shall submit the application forms as prescribed in the notification. The application forms and the necessary details shall be made available on the college website.
- 4.3. List of eligible candidates will be displayed on the College website and the entrance examination shall be conducted as per schedule.
- 4.4. Appearing and clearing of entrance test is only one of the prerequisites for admission.
- 4.5. Candidates who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/DST-INSPIRE/teacher fellowship holder or have passed M. Phil. program are exempted from appearing in St. Albert's College (Autonomous) Ph.D. Entrance Test. However, they shall appear for interview / presentation scheduled by the College.
- 4.6. Pattern of Ph.D. entrance test question paper comprises two papers, Research Methodology and subject/specialization specific. Each paper will be of 50 marks with total two hours duration.
- 4.7. Candidates securing minimum of 50% marks will be declared as successful and eligible to appear in the interview. Candidates belonging to SC/ST/OBC (Non-

Creamy layers)/ differently-abled category need 45% in the entrance test instead of 50% for admission to Ph.D. Programs.

- 4.8. Validity of the examination score is only valid till the last date of admissions.
- 4.9. For the selection of candidates who qualify in the entrance test, a weightage of 70% through entrance test and 30% to the performance in the interview/viva-voce shall be given.
- 4.10. Candidates shall report to the Department Research coordinator immediately after the declaration of result for consultation regarding the allotment of supervisor / co-supervisor and schedule for the Research Methodology coursework.

## 5. CATEGORIES OF Ph.D. CANDIDATES

There shall be two categories of Ph.D. candidates:

- (a) **Full Time candidates:** All candidates who pursue full time research in this College shall belong to this category.
- (b) **Part Time candidates:** Candidates admitted under this category shall be working in a research organization, government department, academic institute or industry.

### 5.1. Full Time Candidates

- 5.1.1. Candidates admitted under this scheme will work full time towards their Ph.D. research and will not take any other assignment till the submission of final thesis. The Department concerned shall maintain the regular attendance of such candidates as per the prescribed norms of UGC/University/CSIR/State Govt./Central Govt.
- 5.1.2. Full time candidates should be present in the college during college working hours. However, for works related to their research, they can be away from the college with prior permission from the Supervisor and Principal.
- 5.1.3. Candidates admitted under fulltime category will be allowed for conversion of their candidature to part time only after completion of course work subject to the approval of the Research Council.

### 5.2. Part Time Candidates

- 5.2.1. The candidates should furnish a "Consent and No Objection Certificate" from his/her parent organization / academic institute /industry.
- 5.2.2. Candidates admitted under part time category has to attend course work on full time basis
- 5.2.3. Candidates admitted under part time category may be allowed for conversion of their candidature to full time within six months from the day of their registration.



## **6. REGISTRATION PROCEDURE**

- 6.1. Candidates who are qualified through the interview shall approach the Department Research coordinator to discuss their research interest / area, identification of research supervisor, formulation of research proposal in prescribed format etc.
- 6.2. Successful candidates shall be provisionally registered by the Admission Office.
- 6.3. Candidates will pursue their course work in their respective Departments.
- 6.4. After completion of course work, candidates shall present their research Proposals before the DRC and DC on scheduled dates. Modifications of Proposal if any as recommended by DRC and DC will be carried out by the candidate. Candidate will submit the modified Proposal to CoE.
- 6.5. Based on the approval of research Proposal by the DRC and DC the registration of the candidate is confirmed. However, the effective date of registration will be the date of his / her provisional registration.

## **7. DURATION OF Ph.D.**

- 7.1. The duration of the Ph.D. program shall be minimum of three years and maximum of six years from the date of provisional registration.
- 7.2. After completion of minimum duration of Ph.D. and fulfilling all mandatory requirements, the DC approves the pre submission of synopsis on the request by the candidate.
- 7.3. Under extraordinary circumstances, if the candidate fails to submit the thesis within the maximum period, further extension of the period for a maximum of one year may be granted by the Principal, on the recommendations of the Department Research Committee, Doctoral Committee and subsequently, by the Research Council(RC).
- 7.4. After the expiry of the maximum period including the extension granted, a candidate will be permitted to re-register as per the following regulations:
  - 7.4.1. Re - Registration with same supervisor and same area of research. Same research committee (mainly at the Department level) shall regulate the research work and the course works completed shall hold valid.
  - 7.4.2. Re - Registration with different supervisor and same area of research. A new research committee (mainly at the Department level) shall regulate and it decides on the validity of the course works completed.
  - 7.4.3. Re-Registration with different / same supervisor and different area of research. Such registration is subject to regulations applicable for the fresh candidates.
- 7.5. Persons with more than 40% disability may be allowed a relaxation of two years for Ph.D. in the maximum duration.
- 7.6. Women candidates may be provided Maternity Leave/Child Care Leave as per the as per the prescribed norms of UGC/University/CSIR/State Govt./Central Govt.

## 8. ELIGIBILITY CRITERIA FOR SUPERVISORS AND CO-SUPERVISORS

- 8.1. Any regular Professor of the St. Albert's College (Autonomous) with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the College with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
- 8.2. Only a full time regular teacher of the St. Albert's College (Autonomous) can act as a supervisor. The external supervisors are not allowed, however, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the College or from other related institutions of the same parent University with the approval of the Research Council.
- 8.3. When supervisor of a candidate is away from the college for more than six months, he/she may continue to guide the candidate but a supervisor belonging to the same department of St. Albert's College (Autonomous) shall be officially nominated as a co-supervisor by the DRC and forwarded through proper channel to the Principal for approval.
- 8.4. If the supervisor leaves the college, a new supervisor belonging to the same department of the college officially nominated by the DRC will be appointed as the supervisor. However, the previous supervisor, if he/she wishes, may continue as co-supervisor with his/her changed affiliation.
- 8.5. Supervisor or co-supervisor(s) intending to enroll shall apply to the Research Council (RC) in the prescribed format.
- 8.6. The total number of Ph.D. candidates permissible to be registered with a supervisor/co-supervisor at any point of time is as shown in table below:

Professor	8 scholars at a time
Associate Professor	6 scholars at a time
Assistant Professor	4 scholars at a time

- 8.7. The supervisor and co-supervisor(s) should not be closely related to the candidate.

## 9. RESEARCH COMMITTEES AND THEIR FUNCTIONS

Following are the Research Committees constituted as approved by the Principal.

### 9.1. Department Research Committee (DRC)

Every Department offering Ph.D. program shall have a candidate specific DRC. The committee consists of

- Head of the Department as Chairperson,
- Department Research Coordinator as Member Secretary /Convener,
- An external members from other Department,

- A senior faculty members of the Department
- All Supervisors and Co-Supervisors

**The committee shall have the following responsibilities:**

- To review the research proposal and finalize the topic of research
- To allocate supervisor and co-supervisor(s)
- To decide the course work for candidate
- To maintain all the administrative records of the research scholar
- To oversee the research work of the research scholar.

**9.2. Doctoral Committee (DC)**

The College shall have Doctoral Committee (DC). The composition of the committee will be as under:

- Head of the Department as Chairperson.
- A nominee from RC.
- Minimum one Senior Faculty from the department.
- An external expert depending on the research proposal.
- Research Supervisor / Co-supervisor(s) as special invitees.

**The committee shall have the following responsibilities:**

- To periodically review and assess the progress of the research work of the research scholar.
- To recommend the final submission of Synopsis by the candidate on his / her request after completion of all requisites as laid in the regulations.
- To recommend the final submission of thesis by the candidate on his / her request after completion of all requisites as laid in the regulations.

**9.3. Research Council (RC)**

This committee is the apex committee that governs all research related activities of the University in all its constituent units. The committee comprises:

- Principal as the Chairperson
- Dean, Research as the Coordinator
- Deputy Dean, Research as the Secretary
- Chairpersons of DRC
- Controller of Examinations (CoE)
- a minimum of 2 external experts nominated by the Governing Body of the College
- Supervisors and Co-supervisors as special invitees
- Any other invitee with approval of the Chairperson

**The committee shall have the following responsibilities:**

Research Council (RC) deliberates and confirms the recommendations of Doctoral Committee (DC) and takes all policy decisions concerning research.

## 10. COURSEWORK

All candidates admitted to the Ph.D. program shall be required to complete the course work prescribed by the DRC during the initial one year.

- 10.1. The research scholars should successfully complete 8 to 16 credits prescribed by the Department Research Committee (DRC) and approved by the Chairperson of DC.
- 10.2. Recommended course work for 14 credits must include:
  - **A Course on Research Methodology** – 4 Credits
  - **Research related subject** — 4 Credits
  - **Additional research related subject:** 4 Credits, OR, two research related seminars of 2 Credits each, OR, two research related workshops (minimum of 7 day's duration each): 2 Credits each.
  - **Research and Publication Ethics (RPE): 2 Credits.**
- 10.3. Procedure and conduct of examination for course work is strictly as other regular courses of the college and is under the supervision of Controller of Examination (CoE).
- 10.4. A Ph.D. scholar has to obtain a minimum of 55% of marks or an equivalent grade in the course work in order to be eligible to continue in the program and submit the thesis.
- 10.5. After successful completion of course work, course completion certificate / consolidated mark sheet shall be issued from the Office of the Controller of Examinations.

## 11. MONITORING THE PROGRESS OF CANDIDATES

11.1 All research scholars whose registration for research degree is in force, are required to submit a report in-person to the supervisor in each semester on the stipulated date till their submission of thesis, in the prescribed registration form with all relevant documents and the same shall be forwarded to the RC through DC.

11.2 In case, the progress of the research scholar is unsatisfactory; the supervisor shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the supervisor may recommend to DC for further procedure.

## 12. CANCELLATION OF REGISTRATION

- 12.1. The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the Supervisor, DRC and not presented progress seminars to the Doctoral Committee (DC) for two consecutive assessments is liable to be cancelled by the Governing Body on the recommendations of the RC.
- 12.2. The registration of research scholar who has not submitted his/her thesis by the end

of the prescribed / extended period as provided in the Regulations will be cancelled by the Governing Body on the recommendations of the RC.

- 12.3. However, re-registration is possible with approval of the RC, provided supervisor recommends for the same as per procedure laid down in preceding section 7.4.

### **13. CRITERIA FOR PRE-SUBMISSION OF THESIS**

The Department Research Committee (DRC) shall accept the request of pre submission of thesis only after satisfactory and regular progress of Ph.D. work, completing minimum period of Ph.D. program and fulfillment of required criteria as listed below:

- 13.1. The scholar has to publish a minimum of two research papers in UGC listed peer reviewed journals with the permission of the supervisor.
- 13.2. Two presentations in person with proceedings in International conferences / seminars, before pre submission of the Ph.D. work to the Department Research Committee (DRC).
- 13.3. Successful completion of coursework in the prescribed time period

### **14. PRE-SUBMISSION OF THESIS & SYNOPSIS**

- 14.1. Once the Supervisor(s) are satisfied that the Ph.D. work is complete, the research scholar will be permitted to prepare the pre-synopsis report.
- 14.2. The Pre Synopsis report will be presented to DC on a scheduled date. The presentation may be open to all faculty members and research candidates, for getting feedback and comments. The DC may recommend further work if not satisfied or may recommend writing of Synopsis and Thesis if satisfied. On approval by DC, the candidate will write the Synopsis and submit ten copies duly signed by the Supervisor(s) to CoE, St. Albert's College (Autonomous) within one month. Ph.D. synopsis may be around 5000 words also in a prescribed format and should accompany a soft copy on CD.

### **15. FINAL SUBMISSION OF THESIS & THESIS ADJUDICATION**

- 15.1. After the approval of the research work by DC, the scholar shall submit eight hard copies of the thesis in prescribed format along with a soft copy on CD to the Research Council (RC) within three months along with a panel of at least ten names (six from India and four from abroad) as examiners for adjudication of the Ph.D. thesis.
- 15.2. Under no circumstances, the submission of thesis shall be delayed beyond three months except under special circumstance, where an extension of another three months may be granted with the recommendation of the Doctoral Committee by the principal.

- 15.3. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least three external examiners nominated by the CoE who are not in employment of the College, of whom one examiner may be from outside the country. The CoE, if he deems it necessary, may ask the DC to resubmit examiners from outside the panel submitted earlier.
- 15.4. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the supervisor attesting to the originality of the work, vouching that there is no plagiarism after testing the thesis with a Plagiarism software in the College Library and that the work has not been submitted for the award of any degree/ diploma of the same institution where the work was carried out, or to any other Institution.
- 15.5. Controller of Examinations (CoE) shall take such steps as deemed necessary to enable the reports of the examiners to be received as quickly as possible.
- 15.6. In the case of undue delay in receiving the report from an examiner, the thesis shall be referred to another examiner selected by the CoE from the panel of examiners, after waiting for six months and ensuring that the first examiner is not likely to respond within a reasonable period of time.
- 15.7. The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:
  - (a) Recommended for the award of the degree of Doctor of Philosophy: commended / highly commended.
  - (b) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be referred to the Supervisor for verification.
  - (c) Recommended that the candidate revises the thesis as suggested in the report and the examiner has insisted that the revised thesis is sent again to him for reevaluation.
  - (d) Not recommended.
- 15.8. The examiner shall enclose a report, indicating the standard attained in case (a), the nature of revision in case (b) or (c) and the reasons for rejection in case (d).
- 15.9. On receipt of the reports from the examiners, the following procedure shall be adopted:
  - (a) If two examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modifications etc., suggested by the examiners shall be carried out. Thesis with incorporation of minor revision / modifications and a separate addendum on the revision / modifications made shall be submitted to the Controller of Examinations (CoE) before the oral examination.
  - (b) If any examiner recommends major modifications and revision of the thesis, the candidate shall be permitted to revise and resubmit the thesis and an addendum

(as quoted in clause (a) above, within 6 months with the approval of the Doctoral Committee (DC) and RC. The revised thesis shall be referred to the same examiner, provided the examiner has insisted that the thesis is to be sent back to him/her after revision for offering final recommendation on the thesis. In such a case the examiner should offer his/her comments for the second time either as recommended for the award or rejection.

- (c) If two external examiners recommend rejection, the thesis shall be rejected with RC recommending the Governing Body on the next course of action pertaining to that research scholar.
- (d) When the recommendation of the examiner on the revised thesis is not as stipulated or in the case of any dispute, the Principal, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by the Principal for this purpose.

## **16. DEFENSE OF THESIS / ORALEXAMINATION**

- 16.1. After the reviewers have approved the thesis, a public defense of the thesis and Viva-Voce will be held by a board of examiners appointed for the purpose. Copies of reports of the reviews of the thesis shall be sent to all members of the board of examiners conducting the Defense/Viva-Voce and also to the candidate prior to the Defense. Wide publicity will be given to the date, time and venue of Defense so that all interested faculty members and research students may attend the Defense/Viva Voce Examination.
- 16.2. The board of examiners for the viva voce/defense shall consist of supervisors, Co- supervisor(s), one external examiner, one internal examiner from the DRC and two members each from the DC and the RC. The external examiner will generally be one of the reviewers of the thesis of the candidate.
- 16.3. The topic, date and the time of defense of thesis shall be announced by the office of the CoE well in advance so that the faculty members and others interested in the topic of the thesis can be present during defense. Those attending the public defense, who are not members of board of examiners, can also participate by asking relevant questions. The board of examiners shall take into consideration the views and criticism, if any, by the faculty members and others participating in the public defense of the thesis. However, only the members of the board of examiners shall decide the result of the examination.
- 16.4. The examiners of the Viva-Voce/Defense shall jointly submit a report to the CoE on the performance of the candidate at the Defense, clearly indicating whether the candidate deserves to be admitted to the degree. If the candidate fails to satisfy the examiners at the Viva-Voce/Defense, the candidate shall be allowed by the Principal to defend his thesis again after a period of three months from the date of first Defense. On the second occasion, the Oral examination board may include one more examiner nominated by the Principal.
- 16.5. The college shall develop appropriate methods so as to complete the entire

process of evaluation of Ph.D. thesis within a period of one year from the date of submission of the thesis.

#### **17. AWARD OF Ph.D. DEGREE**

- 17.1 The RC, after considering the reports on the thesis and Defense, shall recommend to the Governing Body for the award of Degree to the candidate.
- 17.2 A provisional certificate will be issued to the candidate by CoE on successful completion of Defense.
- 17.3 Candidates are advised to approach Parent University for the Ph.D. Degree Certificate, for which supporting documents available in St. Albert's College (Autonomous) will be issued, if required.
- 17.4 Copies of the thesis accepted for the Degree of Doctor of Philosophy, with necessary corrections or modifications, if there be any, shall be retained in the concerned department and library of St. Albert's College (Autonomous).

#### **18. PUBLICATION OF THESIS**

- 18.1. After the viva – voce examination, the candidate shall submit a copy of the thesis in CD ROM duly certified by the Supervisor(s) that all the corrections have been duly carried out as suggested by the examiners, if any, for Parent University and St. Albert's College (Autonomous) archives.
- 18.2. Parent University / St. Albert's College (Autonomous) shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Colleges.
- 18.3. Papers arising out of the thesis may be published by the candidate. However, the thesis as a whole shall not be published by the candidate without the specific approval of the St. Albert's College (Autonomous).

#### **19. PLAGIARISM**

In case it is confirmed by a committee that the research scholar has copied a research work / dissertation / thesis of Ph.D. degree, then his/her thesis shall be rejected and his/her research registration shall be terminated and also he/she shall be debarred from registering for any other program in this college.

#### **20. CHANGE OF REGULATIONS**

With approval from Research Council (RC), Doctoral Committee (DC) and subsequent ratification in the Governing Body, the college may revise, amend or change the regulations from time to time.



**FORMAT FOR RESEARCH PROPOSAL/PROPOSAL**

1. Title/Cover page as per (Annexure -I to Appx A)
2. Certificate from Supervisor /Co Supervisor as per (Annexure -II to Appx A)
3. Contents
4. Introduction
5. Brief Review of the Literature
6. Statement of the Problem
7. Objectives of the Study
8. Research Posers/Hypothesis
9. Scope of Research
10. Limitations of Research
11. Methodology/Design (Methods & Procedures)
  - (i) Method(s) of Research
  - (ii) Sampling Technique, Sample Size
  - (iii) Data Collection & Collection Methods
  - (iv) Analysis and Interpretation of data.  
(Specify the procedures & techniques you will use)
12. Semester-Wise Plan of Work
13. Reference
14. Brief Bio-data of the Researcher (One Page)

COVER PAGE

(Sample Copy)

**TITLE OF THE PROPOSAL / PROPOSAL**

[FONT ARIAL, SIZE 22, BOLD, ALL CAPS]

**Research Proposal  
Registration for Ph.D. Programme**

**Submitted by**

Name of Candidate [Font Arial, Size16, Normal, Bold]

Discipline [Font Arial, Size16, Normal, Bold]

*Under the Supervision of*

[Font Arial, Size16, Normal, *Italics*)

Name of Supervisor [Font Arial, Size16, Normal, Bold]

Designation [Font Arial, Size 16, Normal]

School/ Department [Font Arial, Size 16, Normal]

and

Name of Co-Supervisor (if any) [Font Arial, Size16, Normal, Bold]

Designation [Font Arial, Size 16, Normal]

School/Department [Font Arial, Size16,Normal]



MONTH YEAR

**Certificate of Supervisor / Co-Supervisor**

This is to state that Mr./Ms.....has been selected for Ph.D. program in the School/ Department of .....as a full time / part time (internal / external) candidate.

- a. I/we agree to be his / her Supervisor / Co-Supervisor and shall extend all possible facilities to enable him / her to carry out his / her research program towards the submission of thesis.
- b. I/we and my/our research scholar are fully aware of all regulations laid down in the St. Albert's College (Autonomous), SACA, Ph.D. Regulations and it will be abided in true spirit.
- c. Any publications/patents made out of this Ph.D. work will be with my full awareness.

**Signature**  
**Name of Supervisor**  
Date:

**Signature**  
**Name of Co-Supervisor**  
Date:

**Appendix - B**

**FORWARDING NOTE FOR PRE-SUBMISSION OF Ph.D. THESIS**

1	Name of Scholar		
2	Registration No.:		School/Department:
3	Registration Date		
4	Type of Registration	External	Part Time / FullTime
5	Title of Thesis		
6	Courses Prescribed & Completed: (Continue On Reverse if Necessary)		
SI No.	Course Code	Course Title	Grade
A) B)			
7	Residential Period Completed. (External Research Scholars):		
8	Progress Reports Presented (Dates)		Remarks of RPC
A) B) C) D) E)			
9	Details of Publications		Publications as per SACA Regulations on Ph.D.
A) B) C)			
10	<p>Certificate by Supervisor: The Pre Submission Report has been seen by me. The Scholar is likely to submit the Thesis within three-month from date of presynopsis.</p> <p>Date: _____ Signature of Supervisor _____</p>		
11	Remarks of the RPC		Forwarded Date

## **Appendix - C**

### **FORMAT FOR SUBMISSION OF PRE Ph.D. SYNOPSIS (Approx. 25 - 40pages)**

1. Title/Cover page as per University format.(Annexure—I to Appx C)
2. Certificate as per University format. (Annexure — II to Appx C)
3. Introduction (Background, Description/ Definition, Research Propositions, Motivations for research, Organization of thesis to highlight chapters of the thesis)
4. Literature survey (Short) (Including summary of each of past work, the research gap/limitations of past work and proposed improvements)
5. Objectives (Limitations, research posers / research hypotheses)
6. Methodology/Experimental setup (flow chart may be given)
7. Significant Contributions
8. References(Short)
9. Appendices/Annexures (if required)
10. List of Publications from Research

**Annexure – I  
(Appendix – C)**

**PRE SUBMISSION REPORT ON THE THESIS TITLE**

**TITLE .....**

**BY**

**NAME OF CANDIDATE  
SCHOOL/DEPARTMENT**

*to be submitted*

*In partial fulfillment of the requirements of the degree of*

**DOCTOR OF PHILOSOPHY**

to the



**MONTH & YEAR**

**Annexure —II**  
**(Appendix — C)**

**CERTIFICATE**

This is to certify that the thesis titled “**TITLE OF YOUR THESIS**” being submitted by “**NAME OF THE RESEARCH SCHOLAR**” to the St. Albert’s College (Autonomous) , for the award of degree of Doctor of Philosophy is a bonafide record of original research work carried out by the scholar. He/ She has worked under my/our guidance and supervision and has fulfilled the requirements for the submission of this thesis, which has reached the required standard.

The results contained in this thesis have not been submitted, in part or full, to any other university or Institute for the award of any degree or diploma.

**Signature**  
**Name of Supervisor**

**Date:**

**Signature**  
**Name of Co-Supervisor Date:**

**Date:**

FORMAT OF THESIS

1. Thesis and Project Report Arrangement

Assemble the thesis/project report in this order:

1. Title/Cover page as per University format. (Annexure —I to Appx -D)

Inside Cover Page

Front side: Same as cover page

Reverse Side: Copyright on left side of reverse inside cover page

St. Albert's College (Autonomous), Ernakulam.....

All rights reserved.

2. Dedication

This should not exceed one page

3. Certificate

Should be exactly as shown in (Annexure-II to Appx -D)

Acknowledgement should not exceed two pages

4. Acknowledgement (Optional)

(Annexure —III to Appx-D)

5. Declaration

(Annexure—IV to Appx-D)

6. Plagarism Verification Certificate

(Annexure—V to Appx-D)

7. Abstract

A concise summary of the essential information of the work being presented, namely scope of study, purpose and results. The reference-free single spaced abstract should not exceed two pages

8. Table of contents

Includes all the subsections of each chapter and the list of appendices and annexures (if applicable) and page numbers

9. List of figures

Figure numbers to be represented by chapter concerned. For example if there are three figures in Chapter 2, they will be numbered sequentially as 2.1, 2.2 and 2.3.



- |                           |  |
|---------------------------|--|
| 10. List of Tables        | Similar to numbering of figure as explained above for figures  |
| 11. List of Appendices    | Separate page containing Appendix number, title and page number.   |
| 12. List of Abbreviations | Lists all the abbreviations used in the text alongside their fully written unabbreviated form in alphabetical order  |
| 13. Notations             | The research scholar must explain the meaning of special symbols and notation used in the thesis, Define English, Greek & Miscellaneous Symbol separately  |
| 14. Chapters              | Thesis text; Introduction, Literature survey, Research methodology, conclusion. The layout is described in the next section  |
| 15. References            |  |
| 16. Appendices            | <p>Appx I: Material too detailed or lengthy for inclusion in the body of the study (e.g. questionnaires, maps, etc.). Appx I may contain separate annexures based on material to be included</p> <p>AppxII: List of papers communicated/accepted/published/presented</p> <p>AppxIII: Copies of acknowledgement/acceptance letters in case the papers are communicated /accepted</p> <p>Appx IV: Brief bio-data of the researcher</p> |

Note: The thesis should be hard bound in Maroon color with outer cover page printed in Golden letters in specified format as given in Annexure—I of Appx —D.

## 2. Layout

The following presents a framework for a thesis. The information is offered as general guidelines. Students should always consult their supervisor for additional guidelines. In particular, the layout of project reports can be different depending on the type and scope of the project. Note that each chapter should start on a new page.

- 2.1. **Introduction:** background; statement of the problem; definition of terms; purpose of the study; theoretical basis; contributions of the study; organization of the remainder of the study (chapter number, title and in short what it deals with).
- 2.2. **Literature Review:** chronological, categorical or related theoretical viewpoints related to topic.
- 2.3. **Proposed Solution/Methodology:** research design or approach (quantitative, qualitative or algorithmic); experimental detail or methodology, population and/or sample; collection and tabulation of data; and data analysis procedures.
- 2.4. **Solution Validation, Analysis of the Data, Results, and Discussion:**  
Presentation and discussion of the findings, including limitations.
- 2.5 **Conclusions, Recommendations:** summarizes the entire research effort; addresses the initial purpose of the study (stated in the introduction); stresses the importance of the work accomplished; leaves a final impression on the reader. It can also include suggestions for further work.
- 2.6. **Bibliography/References:** references should acknowledge any work done by someone other than the author. The reference should also include work performed by the author if presented or published at an earlier date. References should adopt one of the standard international styles; the American Psychological Association style for references and citation is recommended.
- 2.7. **Appendices:** material too detailed or lengthy for inclusion in the body of the study (e.g. questionnaires, maps). Appendices may also contain information that might clarify the thesis but is routine in nature or indirectly related to the thesis. Raw data and examples of calculation could be incorporated.

## 3. Style and Form

- 3.1. Paper: Use A4 size (210 mm X 297 mm) bond un-ruled paper (90gsm) for all copies submitted. Use both sides of the page for all printed/typed matter.
- 3.2 Printing: A high-quality laser printer should be used for the final copy.
- 3.3 Headings: In disciplines where section numbering is normally used, the following guidelines apply

3.3.1 Chapter number: Use only Arabic numerals should be centered on the top of the page using Times New Roman 14, bold and lower case with “C” capital e.g., Chapter 1

3.3.2 Chapter Heading: Times New Roman 14, bold and all capital.

3.3.3 Section Heading: Use only Arabic numerals, Times New Roman 12, bold and lower case with leading capitals, e.g., and only first letter in each word to be capitalized.

3.3.4 Subsection Heading: Use only Arabic numerals, Times New Roman 12, bold and lower case with leading capitals, e.g., and only first letter in each word to be capitalized. The style of Section Heading and Subsection Heading some way may be different e.g. one may be italic.

3.4. Text Font: Acceptable fonts generated by word processing programs restricted to: Times New Roman 12. Bold and italics should not be used excessively in the text. Furthermore, colored text should not be used.

**3.4.1 Special Text:** Italics/ Superscript/ Subscript/Special Symbols etc., as per necessity. Special text may include footnotes, endnotes, physical or chemical symbols, mathematical, notations, etc., whenever these are required.

**3.4.2 Justification:** The text should be fully justified. Hyphenation should be avoided as far as possible. Text corresponding to be bullets, and listings should be indented. Quotation from other research work must be indented on the left and right, if they are longer than two lines. Shorter quotation can be included as a part of the regular text. Quotation may be in Italic font.

**3.4.3 References:** Single spacing for each entry and double spacing between entries or 1.5 spacing uniformly.

3.5 **Spacing:** Double or one and half spacing is required for the text. Only footnotes, long quotations, bibliography entries (double space between entries or 1.5 spacing throughout), table captions, and similar special material may be single spaced.

All paragraphs in the thesis should be justified completely from the first line to the last line.

3.6 **Margins:** Left 1.25"; top 1.00", bottom 0.67", and right, 1.25". Please note that the bottom of page number should be 17.0 mm above the bottom edge of the numbered pages.

3.7 **Page Numbering:** Every page in the Thesis, except the Thesis title page, must be accounted for. The page numbering starting from acknowledgement and till the beginning of the introductory Chapter, should be printed in small Roman numerals i.e., i, ii,iii,

The first page must not show its page number. Pages of the text itself and of all items following the text should be numbered consecutively throughout in Arabic numerals i.e., 1,2,3 etc., beginning with number 1 on the first page of the introductory chapter.

All printed page numbers should be located at the bottom center of the page, 17mm (2/3") from the bottom edge, using normal print. Only numbers should appear, not page 9.

3.8 **Tables and Figures:** Figures and tables should be inserted at the appropriate place in the text. Figures must have numbers and captions under the figures. Tables have their titles and numbers above. All figures should be drawn in black ink with sharp lines and adequate contrast between different plots if more than one plot is present in the same graph. Figures and tables should follow immediately after they are referred to for the first time in the text. Splitting of paragraphs, for including tables/figures on a page should be avoided. The last line of the title of the any table should be 10 mm to 15 mm above the top-most horizontal line of the table, whereas in figures the first line of the tittle for figures, graphs, drawing and photo should be between 10 mm to 15 mm below the bottom and they should be centered with respect to the table/ figure. The title must be in the same font as the regular text and should be single spaced. The title format is given below:

**Table Example:**

Table<blank><Chapter number><serial number><left indent><tabletitle>.  
Example of a small table which is sought to be placed within the text:

The content of the table will be within the surrounding double line (which indicates the top-most, left-most, right-most, and bottom-most boundaries of the table)
--

**Figures Example:**

Fig.<blank><Chapter number> <serial number><Left indent><figure title>. Wherever a table/figure exceeds one page present the full title of the table/figure on the first page and in the following pages provided the table number and state “(contd.)” after it.

Wherever explanatory notes are used for clarification any information presented inside the table, print them after leaving single space immediately below the table. All the tables/figures in landscape format must be placed such that their top portions are near binding of the thesis and their bottom portions near the outer edge.

When there are many plots in a single graph or figure, the lettering, labelling or numbering of each plot for its identification should be of a size such that even after size reduction in the thesis, the identification should be clearly legible.

- 3.9 **Drawings:** Drawing which is larger than A4 size are not encouraged. Any material which cannot be typed or computer generated should be drawn with permanent black ink in neat and heavy lines. Photographs of drawings are acceptable. Xerox reproductions of drawings are acceptable if they are of high contrast. Drawing should be numbered and referred to as a figure. Drawing titles should be similar to those provided for figures.
- 3.10 **Photographs:** Use color photographs only if necessary. Remember that the thesis may have to be photocopied. In case color photographs are used, all copies of the thesis must contain only color photos. Photos should be printed on glossy paper, and should be mounted with glue. Do not use rubber cement or tape. High-clarity Xerox copies of photographs are also acceptable. However, high-quality scanned e- images can also be inserted into the thesis text. Each photo should be numbered and referred to as a figure. Photos titles should be similar to those provided for figures.
- 3.11 **Footnotes:** In disciplines where footnotes are normally used, they should appear at the bottom of the same page as their reference. Footnotes should be numbered in Arabic numerals. The footnote reference is superscripted and the explanation at the bottom of the page begins with the footnote reference number. Footnotes should have a smaller font size than the text (e.g. 10 point).
- 3.12 **CDs and DVDs:** Identify with title, name of student, and date.
- 3.13 **Computer Software:** Describe in separate section in prefatory pages (e.g., list of figures and tables). If applicable, state requirements for the use of the software (e.g., hardware, screen resolution type) and any other information necessary for proper viewing of the software.
- 3.14 **Oversized Material:** Oversize foldout pages may be included, though ample margins for binding must be included. Leave oversize page unfolded. The

bindery will fold and insert them. All pages must appropriately be numbered if found in the text.

3.15 **Binding:** The hard binding of the thesis should be of high quality. The cover should be maroon in color with golden print.

COVER PAGE

(Sample Copy)

TITLE

*by*

NAME OF THE CANDIDATE

DEPARTMENT

*submitted*

*In fulfillment of the requirements of the degree  
of*

DOCTOR OF PHILOSOPHY

to the



YEAR

On the Rear side of Cover shown in Annexure I

@ St. Albert's College (Autonomous), Ernakulam, Kerala, India , 20.....

All Rights Reserved



**(The certificate must be on the respective School/Department Letter Head)**

**CERTIFICATE**

This is to certify that the thesis titled “**TITLE OF YOUR THESIS**” being submitted by “**NAME OF THE RESEARCH SCHOLAR**” (**Registration No.**) to St. Albert’s College (Autonomous), for the award of degree of Doctor of Philosophy is a bonafide record of original research work carried out by him/her. He/she has worked under my/our guidance and supervision and has fulfilled the requirements for the submission of this thesis, which has reached the required standard.

The results contained in this thesis have not been submitted, in part or full, to any other university or Institute for the award of any degree or diploma.

Signature

**Name of the Supervisor**

Date:

Place:

Signature

**Name of the Co-Supervisor**

Date:

Place:

**ACKNOWLEDGMENT (OPTIONAL)**

I would like to express my sincere gratitude and appreciation to my supervisor.....  
..... for guiding me throughout all my Research technically and methodologically.

I would like to express my sincere gratitude and thanks to my co-supervisor.....  
..... for guiding me with his/her patience and sound intelligence.

I would like to express my sincere gratitude to..... for constant  
encouragement and motivation.

I would also like to thank the management of St. Albert's College (Autonomous) and the  
members of Research Council, for allowing me to carry out this research work.

**Signature**

**Name**

**[Reg. No.]**

**Department of.....**

Date:

Place:

**(The certificate must be on the respective Department Letter Head)**

**Declaration of originality of research work and thesis by the scholar and supervisor**

I have not committed plagiarism in any of the forms described in the Promotion of Academic Integrity and Prevention of Plagiarism in St. Albert's College (Autonomous). I have documented all methods, data and processes truthfully and I have not manipulated any data. I have mentioned all persons who were significant facilitators of the work. The work has been screened electronically for plagiarism.

**Signature**

Name of the Scholar

Place:

**Registration Number**

Date:

I, Dr. ----- certify and attest that the work done by my Ph.D. candidate Mr/Ms ----- is original and vouch that there is no plagiarism. The work has not been submitted for the award of any other degree/diploma of the same University / School where the work was carried out, or to any other University /Institution.

Signature

**Name of the Research Supervisor**

**Designation**

Place:

**School/Department**

Date:

(The certificate must be on the respective School/Department Letter Head)

**PLAGIARISM VERIFICATION CERTIFICATE**

1. Title of the Thesis:
2. Total Pages:
3. Name of the Scholar:
4. Department:
5. Name of the Supervisor:
6. Exclusion for Plagiarism check(e.g., Index, Bibliography, Literature Survey, etc.)
  - a.
  - b.
  - c.
7. Software used:
8. Similarity index:

Verified by:

Signature of Scholar

Signature of Supervisor

**Name of Scholar**

**Name of Supervisor**

Place:

Place:

Date:

Date:

