

KTU RESEARCH REGULATIONS

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COLLEGE OF ENGINEERING, TRIVANDRUM

Categories of Admission



Category

1 **Full-time** with or without fellowship

2 **Part-time** faculty members of the University
Departments or of an affiliated colleges while working.
6 months residency mandatory

3 **External part-time** Those from Research Organisations or
Research & Development centres recognised by the
University
6 months residency mandatory

Research Scholars in CET as on 07-12- Registered with APJA KTU*



Academic Year	Part Time Scholars	Full Time Scholars	Total Scholars Joined	Discontinued	Degree Awarded	Active Scholars
2015-16	0	3	3	0	0	3
2016-17	8	9	17	3	1	13
2017-18	10	6	16	2	2	12
2018-19	16	20	36	1	0	35
2019-20	12	27	39	3	0	36
2020-21	12	37	49	3	0	46
2021-22	29	27	56	0	0	56
Total	87	129	216	12	3	201

* There are more than 100 scholars registered under Kerala University



Active Research Scholars Department wise

Department	Part Time Scholars	External Part time Scholars	Full Time Scholars	Total Scholars
Kerala Technological University (KTU) Scholar Details				
Architecture	2	0	1	3
CE	15	3	24	42
CS	4	0	11	15
EC	15	1	33	49
EE	24	0	22	46
Management	6	1	4	11
ME	10	0	25	35
Total	76	5	120	201

Fellowship Schemes for Full Time Research Scholars



Fellowship	Arch	CE	CS	ECE	EEE	Manag	ME	Total
FT Scholars	1	24	11	33	22	4	25	120
QIP	0	8	0	5	6	0	3	22
CERD	0	2	4	2	5	3	6	22
H. Edn GoK	0	1	2	2	3	0	0	8
Net JRF	0	0	1	4	0	0	0	5
NDF	0	8	0	4	3	0	6	21
ADF*	0	4	1	1	0	0	0	6
KSCSTE	0	0	0	2	0	0	2	4
E-grantz	0	0	0	0	0	0	2	2
FT with Fellowships	0	23	8	20	17	3	19	90

Active Research Supervisors



Department	Supervisors	Scholars	Co Supervisors	Total
Architecture	1	3	0	1
CE	28	42	0	28
CS	2	15*	0	2
EC	10	49*	4	14
EE	12	46	0	12
Management	1	11*	0	1
ME	18	35	1	19
Basic Sciences	1	-	0	1
MCA	0	-	1	1
Total	73	201	6	79

Role of Doctoral Committee



1	Evaluation of research facilities at the place of research
2	Recommending registration of the selected candidate for Ph. D. program
3	Prescribing the course work for the research scholar
4	Nomination and approval of Co-supervisor
5	Conduct of comprehensive viva of the scholar
6	Progress review of the scholar's research work
7	Nomination of thesis examiners
8	Review of the examiner's reports on the thesis
9	Conduct of the oral examination

Milestones of Ph D Programme



Milestones	To be completed with in the specified period
1. Registration	First semester
2. Course work completion	Second semester
3. Comprehensive examination	Third Semester*
4. Research Proposal DC	Fourth Semester*
5. First Seminar	Sixth Semester*
6. Second Seminar	Eighth Semester*
7. Synopsis DC	Ninth Semester*
8. Thesis submission	Within two months after synopsis submission

*All the activities including award of Ph D Degree can be completed within 3 years

Milestones of Ph D Programme



Milestones	Status of research Scholar	Documents to be submitted
I - Registration & Course work		
1. Admission	Applicant admitted by College and payment of fee	Originals of all relevant documents
2. Registration & First DC meeting	<ol style="list-style-type: none"> 1. Student Registration in Process 2. Student Registration Complete 	R01, R02, R03, Minutes, Approval mail
3. Course work	Student Course work complete	Score card Residential period certificate (PT)



Milestones of Ph D Programme

First DC meeting - Agenda

- | | |
|---|---|
| 1 | Approving the research area presented by the research scholar |
| 2 | Prescribing the course work for the research scholar |
| 3 | Recommending the research scholar for registration of Ph. D programme |

Milestones of Ph D Programme



Milestones	Status of research Scholar	Documents to be submitted
II - Comprehensive Examination		
1. Pre Comprehensive DC meeting	<ol style="list-style-type: none">1. Student comprehensive exam details added2. Student comprehensive initiated3. Student Comprehensive Exam Panel approved by University	<ol style="list-style-type: none">1. Minutes with approval2. Panel of examiners with Bio-data3. Syllabus for the examination4. Attendance statement



Milestones of Ph D Programme

Pre Comprehensive DC - Agenda

- | | |
|---|--|
| 1 | Proposing tentative date for the comprehensive written and viva-voce examinations. |
| 2 | Approving the syllabus for comprehensive examination |
| 3 | Proposing the committee for Comprehensive examination |
| 4 | Progress evaluation of the research scholar |



Milestones of Ph D Programme

Milestones	Status of research Scholar	Documents to be submitted
II - Comprehensive Examination		
2. Comprehensive written Examination		
3. Comprehensive viva-voce Examination	<ol style="list-style-type: none">1. Student comprehensive marks submitted2. Student comprehensive completed	<ol style="list-style-type: none">1. Minutes with approval2. R04 Form3. Attendance statement

If failed in the first attempt of comprehensive written examination, one more chance is available (Rs. 4000/- to be paid for reappearing the exam)

If failed in the first attempt of comprehensive viva examination, one more chance is available (Rs. 1000/- to be paid for reappearing the exam)

If a candidate fails to clear the comprehensive exam in two attempts, his/her registration shall be cancelled.

Milestones of Ph D Programme



Guidelines for Conducting Written Exam

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|---|---|
| 1 | Max. Marks 100, Duration 3Hrs |
| 2 | 5 modules for research scholars who had undergone Research Methodology at Post Graduate Level
Maximum mark allotted to each module : 20 marks
Total $20 \times 5 = 100$ marks |
| 3 | 4 modules for research scholars who had undergone Research Methodology as part of PhD Course work
Maximum mark allotted to each module : 25 marks
Total $25 \times 4 = 100$ marks |
| 4 | There shall not be any choice for questions. last module of the syllabus shall contain contents related to the research area of the scholar. |



Milestones of Ph D Programme

Guidelines for Conducting Viva Exam

- | | |
|---|---|
| 1 | Max. Marks 100, Duration 1Hr to 1.5 Hrs |
| 2 | The scholar shall present his/her work briefly, about 5 minutes |
| 3 | <p>The approved syllabus will be displayed by the scholar.</p> <p>The Chairman and all the DC members (especially the invited external members for viva voce examination) shall ask questions from each module in one to one basis, till the last module of the syllabus.</p> |

Milestones of Ph D Programme



Milestones	Status of research Scholar	Documents to be submitted
III - Research Proposal DC		
Research Proposal DC	<ol style="list-style-type: none"> 1. Research Proposal submitted 2. Research Proposal confirmed 	<ol style="list-style-type: none"> 1. Minutes with approval 2. Approved Research proposal report (Hard copy & soft copy) 3. Attendance statement
Research Proposal DC – Agenda		
<ol style="list-style-type: none"> 1. Review of Research proposal 2. Progress analysis of the Research Scholar 3. Approval of Research proposal 		

Milestones of Ph D Programme



Milestones	Status of research Scholar	Documents to be submitted
IV – First Seminar		
First Seminar (Institutional seminar to Present progress of work)	1. First seminar submitted 2. First seminar confirmed	1. Minutes 2. Approved First seminar report (Hard copy & soft copy) 3. Attendance statement
First Seminar - Agenda		
1. Progress analysis of the Research Scholar 2. Approval of first seminar report		



Milestones of Ph D Programme

Milestones	Status of research Scholar	Documents to be submitted
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V – Second Seminar

Second Seminar

(Institutional seminar to Present progress of work)

1. Second seminar submitted
2. Second seminar confirmed

1. Minutes
2. Approved second seminar report (Hard copy & soft copy)
3. Attendance statement

Second Seminar - Agenda

1. Progress analysis of the Research Scholar
2. Approval of second seminar report



Milestones of Ph D Programme

Milestones	Status of research Scholar	Documents to be submitted
VI – Synopsis DC		
Synopsis DC	1. Synopsis proposal submitted	1. Minutes with approval 2. Approved synopsis with plagiarism report (Hard copy & soft copy) 3. Attendance statement 4. International Conference Paper & Certificate
	2. Synopsis proposal confirmed	5. SCI/SCOPUS indexed Journal paper 6. Synopsis panel list of 8 thesis examiners with individual bio-data. 7. Hardcopy/softcopy of the draft thesis needs to be submitted to DC members for reviewing the thesis



Milestones of Ph D Programme

Synopsis DC meeting - Agenda

1

Take a decision on acceptance or otherwise of the synopsis based on the volume and quality of the research work.

2

Grand permission for the research scholar to submit the thesis.

3

Recommend a panel of t least eight examiners of Thesis
Examiners must be of reputationand from National Institutes or Laboratories and may include those of good professional standing from foreign Universities.
Examiners in the Panel should be at the level of Associate Professor in the University or higher.

Milestones of Ph D Programme



Status of research Scholar	Documents to be submitted
VII – Thesis Submission	
<ol style="list-style-type: none">1. Research thesis submitted2. Thesis viva initiated3. Recommended for conferring Ph. D4. Thesis completed5. Degree Conferred	<ol style="list-style-type: none">1. Abstract of thesis (Maximum 500 words)2. Thesis fee of Rs. 15000/- should be remitted (Produce the thesis fee receipt)3. No dues certificate4. Certificate of plagiarism check and plagiarism report of the thesis5. Final thesis softcopy with plagiarism report6. Forwarding letter from Principal to Registrar of KTU for thesis hard copy submission to KTU (3 soft bound thesis report)7. Three, A5 sized thesis hard copy to KTU and one to college (Total 4 copies).

Publication of Research Output



Publications required - 1

- | | |
|---|--|
| 1 | One paper (other than a review or a survey paper) in SCI/SCIE/SSCI (for management)/SCOPUS indexed journals.
Paid journals indexed in SCI/SCIE/SSCI(for management) |
| 2 | One paper in an international/national conference conducted by registered societies of impeccable reputation. |
| 3 | The authors shall include the name of the University as one of the affiliation other than the research institution and their working institute. |

Publication of Research Output



Publications required - 2

- | | |
|---|--|
| 4 | Research scholar shall be either first author or corresponding author of the said publication. |
| 5 | <p>A publication which entitles a scholar for the award of Ph. D. cannot be used by another scholar even if the scholar is a co-author.</p> <p>If the work is the continuation of a project, the scholar may be permitted to include this paper as his/her contribution, but for meeting basic requirements, he/she should publish another paper/s as either first author or corresponding author.</p> |

Enrolment of Research Scholars



Enrolment in any semester defines the continuance of the research program by the scholar.

1	<p>Semester fee payment</p> <ol style="list-style-type: none">1. Odd Semester – July/August2. Even Semester – December/January
2	<p>A semester wise progress report by the research scholar should be submitted to the supervisor/s and the convenor of the DC and their recommendation is a precondition for enrolment.</p>
3	<p>All research scholars are required to enrol each semester on the stipulated date till the submission of the thesis.</p>



Withdrawal & Leave - Research Scholars

Withdrawal - 1

- 1 A scholar may be permitted by the Dean (Research) to withdraw from the program for a semester or longer for reasons **of ill health or on other valid grounds duly recommended by the doctoral committee.**
- 2 Normally, a scholar will be permitted to discontinue from the programme only for a **maximum continuous period of two semesters.**
- 3 A scholar during withdrawal period should keep his **registration live by remitting the semester fee.**



Withdrawal & Leave - Research Scholars

Withdrawal - 2

4	Scholarships and other financial supports to the scholar will not be paid during withdrawal period.
5	Maximum duration of Ph. D. study remains unchanged.
6	Withdrawal is allowed only once during the programme of study.
7	Maternity period as per university rules will not be considered as withdrawal

Withdrawal & Leave - Research Scholars



Leave -1

- 1 Research Scholars are entitled for a maximum period of **30 days** of leave in a year in addition to public holidays.
- 2 Women candidates are eligible for **maternity leave** for a duration of **240 days once in the tenure of research**. The **maximum period of PhD study is 8 years including maternity leave period**. **KTU fellowship period of these scholars, if applicable, remains as 3 years**.
- 3 Separate **Child care leave** is not considered for research scholars.

Withdrawal & Leave - Research Scholar



Leave - 2

4 If the research scholar receives any funding from external agency, the **rule of the funding agency shall be treated as leave rules.**

5 Research scholars are **not entitled to any other vacation.**

Monitoring of Progress



Progress of the scholar - 1

- 1 Research scholar shall submit a written progress report annually for the first three years, and every six months thereafter.
- 2 Scholars shall submit progress report through the research Supervisor to the academic head of the college and to the chairman and members of DC.

This shall be done well in advance of the DC meeting for reviewing the progress of the scholar.
- 3 A progress report shall be submitted every semester for registration purpose.

Monitoring of Progress



Progress of the scholar - 2

- | | |
|---|---|
| 3 | On review/evaluation of the progress, the DC makes appropriate recommendations with regard to the research program. |
| 4 | Continuance of registration and award/continuance of scholarship/research assistanceship (if any) will be based on the recommendation of the doctoral committee. |
| 5 | Inadequacy of effort/progress shall be a reason for cancellation of registration. |

Conversion from FT to PT Scholars



FT to PT

- | | |
|---|--|
| 1 | Scholars will be permitted to convert from Full-time to Part-time PhD under the following conditions: |
| a | They shall complete the residential requirement of 180 days at their place of research and shall have successfully completed comprehensive examinations. |
| b | Scholarships and other financial supports will be stopped from the date of conversion |
| c | NOC from the employer shall be produced within a period of 90 days from the date of conversion |

Cancellation of Registration



Cancellation - 1

1	Failure to remit the semester fee twice in succession. The registration will be resumed only with the recommendation of the DC and a remittance of the fee due+18% of fee due+ a fine of Rs.2000.
2	Suspension due to failure in fee remittance in subsequent semesters will be resumed only by remittance of fee due+18% of fee due+ a fine of Rs.10000/-
3	If a scholar fails to remit semester fee thrice in succession and DC recommends cancellation of registration.
4	If progress is not found to be satisfactory by the DC and the DC recommends cancellation of registration

Cancellation of Registration



Cancellation - 2

5	If he/she fails in all permissible attempts of Comprehensive examination.
6	If he/she requests for cancellation.
7	If the thesis gets rejected after all valuations.
8	<p>If fails to submit thesis within the stipulated time.</p> <p>It will be revoked in a subsequent date, if the candidate submits the thesis with the permission of the DC and remittance of fee for the period after cancellation, with 18% interest plus a fine of Rs. 15000.</p>

Award of Ph D Degree

The Ph D Degree will be awarded with effect from the date of open Défense Examination of the scholar on recommendation of the Board examiners.

1. Thesis Evaluator
2. Subject expert
3. Convener of DC
4. Dean Research KTU
5. Research Supervisor.

Thank You

