

NOTIFICATION NO. KU/POL./2020/001

Date: January 9th, 2020

Subject: Karnavati University – Ph.D. Rules and Regulations Policy

Karnavati University hereby notifies 'Ph.D. Rules and Regulations Policy' as appended herewith, this policy ensures all the criteria and requirements for the award of a Ph.D. degree to the scholars are being fulfilled. This will promote Research quality, integrity, and ethics and encourage innovation and research.

This policy comes into immediate effect.


Tariq Ali Saiyed
Registrar





Ph.D. Rules and Regulations

Policy Title	Ph.D. Rules and Regulations
Key Stakeholders	Student, Teaching employees Non-teaching employees
Approved on	9 th January 2020
Date Effective	10 th January 2020
Next Version	
Relevant Policies	Academic Integrity Policy
Relevant Committees/Council	University Research Committee (URC) Departmental Research Committee (DRC) Thesis Advisory Committee (TAC)
Related guidelines	UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulation 2016

1. Short Title and Extent

These rules shall be called the “*Ph.D. Rules and Regulations*”.

2. Application

These rules shall apply to the Ph.D. candidates and scholars applying for or enrolled in the Ph.D. program offered by the various constituent institutes of the University with the assistance and coordination of the Karnavati School of Research (hereinafter referred to School of Research)

3. Objective

These rules and regulations have been framed to achieve the following objective –

- a. Framing the rules relating to the admission of the Ph.D. scholars in the University,
- b. Ensure all the criteria and requirements for the award of Ph.D. degree to the scholars are being fulfilled.
- c. Awarding the Ph.D. degrees to the eligible Ph.D. scholars.
- d. Promote Research quality, integrity and ethics and encourage innovation and research.

4. University Research Committee – Composition, Term, Meetings and Functions

The University shall constitute a *University Research Committee* (hereinafter referred to as “**URC**”) for the monitoring and implementation of the PhD rules and regulations.

i. The composition of the URC shall be as follows –

- a. Vice – Chancellor (Provost), *ex-officio*;
- b. Director – Karnavati School of Research, who shall be the chairman;
- c. Dean/Director (s) of all the constituent Institutes of the University, *ex-officio*;
- d. One (1) Professor/ Associate Professor each from all the constituent Institutes of the University, who shall be nominated by the Dean of the respective constituent institute, who shall act as the co-ordinator for that institute;
- e. Three (3) external members, who shall be nominated by the Vice – Chancellor (Provost) on the recommendations of the chairman.

- f. The Chairman shall appoint one member to be the member secretary amongst the existing members.
- ii. **Term** – the term of the nominated members shall be of two (2) years, the members are eligible for re-nomination and re-appointment after the expiry of their term in consultation with the chairman.
- iii. **Meetings** – the URC shall meet at least **four (4) times in a year**, the quorum of the meeting shall not be less than one – half (1/2) of the members. The minutes of the meetings shall be prepared by the Member Secretary and shall be signed by all the members who have attended the meeting.
- iv. **Roles and Responsibility**- URC shall ensure the quality of the research and publication and shall be responsible for following;
 - a. Plan, implement and monitor the research activities at all levels.
 - b. URC shall assist the constituent institutes in identifying their research potential and promoting research within the University.
 - c. It shall assist the School of Research in framing rules and procedures related to the admission of the Ph.D. Program at the University. It shall decide the eligibility criteria for admission in Ph.D. program.
 - d. It shall decide the number of seats for intake in Ph.D. program for every year, maintain the list of the research supervisors (guides), and monitor the work and activities of the *Departmental Research Committee* (hereinafter referred to as DRC) and the *Thesis Advisory Committee* (hereinafter referred to as TAC).
 - e. It shall maintain a year-wise list of all the Ph.D. scholars, the research topic, name of the supervisor(s) and date of enrolment on the University website.
 - f. Ensure that all the requirements for the award of Ph.D. degree have been fulfilled by the Ph.D. scholar. Keep track and maintain records of the submissions, paper publications, seminars, pre-synopsis presentation and viva-voce of the Ph.D. Scholars.
 - g. Frame guidelines to check and detect plagiarism and other forms of academic dishonesty.

- h. Ensuring that the employee adhere to the research related policies, while taking action in relation to matters of academic dishonesty and apply policies.
- i. Organising the seminars and conference for inculcating the research aptitude in the students and employees.
- j. Organizing training sessions where students and employees can learn the research skill in order to channelize their efforts efficiently.
- k. Providing training to the employees and students, for using the plagiarism detection tools and reference management tools.
- l. Acquiring and maintaining sufficient research resources at university.
- m. Conducting the minor/major research projects, to promote the spirit of inquiry among the students and employees.
- n. Encouraging the employees and students to register on the international researcher's registry system.
- o. Creating awareness about Academic Integrity, as to what constitutes plagiarism and other academic misconduct by conducting sensitization programs.
- p. Maintaining the academic integrity of the publication made in the name of the university by prohibiting the fabrication, falsification, plagiarism and fraud in research.

5. Ph.D. Program Types- Full Time/Part Time

- i. The University offers Full time and Part Time Ph.D. programs. The eligibility criteria for admission and the admission procedure shall remain the same for Full time and Part time Ph.D. programs.
- ii. Candidates working and desirous in taking admission as part-time Ph.D. scholars shall have to furnish a “**No Objection Certificate**” from their current place of employment.
- iii. All the full-time employees of the University, desirous to pursue Ph.D., shall be treated as Part-time Ph.D. scholars.

6. Eligibility Criteria for Admission in Ph.D. program

Candidates should fulfil the eligibility criteria for applying for admission to Ph.D. program in the University, the candidates should have -

- i. Master's degree or a degree equivalent to Master's degree as declared by the corresponding regulatory authority from a recognized university in India, with at least 55% marks or equivalent grade,

Or

- ii. An equivalent degree from a foreign country from an Institution accredited by an Assessment and Accreditation Agency of the respective country,

Or

- iii. A degree considered equivalent to M.Phil. Degree of an Indian Institute, from a Foreign Institute accredited by an Assessment and Accreditation Agency of the respective country of such foreign institute.

7. Duration of the Ph.D. Program –

- i. A minimum of three (3) years, including coursework and shall extend up to six (6) years.
- ii. Extension may be given as per the rules made by the School of Research.
- iii. Women candidates shall be given relaxation as per UGC guidelines.

8. Process and Procedure for Admission

- i. The University through School of Research shall announce by way of notification, the total number of seats for the admission of Ph.D. candidates every year, which shall depend on the number of Research Supervisors (guides) i.e., scholar and teacher ratio and infrastructure (library, laboratory, etc.) available at the university.
 - a. The notification shall be released on the website of the University and as an advertisement.
 - b. The notification should contain the number of seats for admission, subject/discipline wise breakup, the eligibility criteria, process and procedure for application and admission and any other relevant information of the Ph.D. Program.

- ii. The candidate can apply for admission in Ph.D. by paying the prescribed fees to the University.
- iii. An Entrance Test shall be conducted by the University for all the candidates who have applied. The Mode of examination (online/offline) shall be communicated to the candidates in advance. In case of offline entrance test, the date and venue of the Entrance test shall be notified to the candidates in advance.
 - a. The syllabus for this test shall consist of 50% weightage of research methodology and 50% subject specific. To qualify the entrance test the candidate shall have to secure aggregate 50% marks.
- iv. The list of candidates who have cleared the entrance test shall be declared on the website of the University. The same shall be communicated to them.
- v. The candidates who have cleared the entrance test shall have to appear for the Interview/viva voce before the DRC.
 - a. The place, date, time and mode of the interview/viva-voce shall be communicated to the qualified candidates.
 - b. The interview/viva-voce shall be conducted by the DRC constituted for this purpose (refer clause 10).
 - c. The candidate shall discuss their research proposal/interest and area through a presentation in the Interview/viva-voce.
 - d. The candidate shall be examined on the basis of his/her interview on the following aspects –
 - Competency for the proposed research
 - Proposed Research work can be undertaken by the University/Institute
 - Proposed research can contribute to new/additional knowledge.
- iv. The final selection of the candidates shall be done as per the weightage of the Entrance Test (70%) + Interview/viva-voce (30%). A list of selected candidates will be uploaded on the website of the University after the

approval of the Director - School of Research on the recommendations of the DRC.

- v. The candidates having one of the following qualifications shall be exempted from the entrance test:
 - a. Qualified in SET/UGC-NET, JRF/TRF, Entrance Test of CSIR/ICAR/ICMR/DBT/DST/ etc. with a valid score i.e. cut-off and duration. Candidates with GATE/CAT and more than 75 percentile or 75% score (applicable to Management & Technology).
 - b. M.Phil. from any UGC recognized University and whose admission has been done through the Entrance Test.
 - c. Full time employees of the University, provided they fulfil the eligibility criteria mentioned in clause 5.
- vi. After successful completion of the admission procedure the candidate shall be provisionally registered as “**Ph.D. scholar**” (refer clause 14) and shall be allotted a research supervisor (guide) as per clause 10.

9. Departmental Research Committee (DRC) – Constitution, Composition, Term, Powers & Functions and Meetings

- i. The DRC shall be constituted for each constituent Institute,
- ii. The DRC shall constitute of the following members -
 - a. Dean of the concerned Institute or a person nominated by him/her, who shall be the chairman;
 - b. All the approved research supervisors (guides) of the concerned institute, the Dean shall appoint a member secretary amongst the approved research supervisor (guides). The term of the member secretary shall be of two (2) years.
 - c. External expert (who shall not be from the same institute), who shall be nominated by the Dean of the concerned Institute;
- iii. **Term** – the term of the external expert shall be of two (2) years, on the expiry of the term, he/she can be re-appointed by the concerned Dean.

- iv. **Powers and Functions –**
 - a. Submit the name of the Research Supervisor (guide) allotted to each Ph.D. scholar to the URC for approval,
 - b. Conduct the interview/viva-voce of such Ph.D. candidates who have cleared the entrance test and evaluate the Ph.D. candidate on the criteria as mentioned in 10 (v) (d), based on their research area or study.
 - c. Monitor the progress made by the Ph.D. scholars at the Institute level and report the same to the URC,
 - d. Conduct the course-work of the Ph.D. scholars at the Institute, approve the course-work suggested by the TAC,
 - e. Make provisions for the conduct of examinations, grading the course work including research methodology, finalising and communicating the final grades to the URC,
 - f. Conduct the synopsis and seminar presentations of the Ph.D. scholar,
 - g. To Coordinate with the URC, and perform such other functions as may be necessary.
- v. **Meetings –** the DRC shall meet at least **four (4) times** in an academic year, the quorum of the meeting shall be one half of the total members. The minutes of the meetings shall be prepared by the member secretary and shall be signed by all the members present.

10. Allocation of Research Supervisor (guide) – the following shall be the eligibility criteria for being a Research Supervisor (guide) or a Co-supervisor (Co-guide).

- i. A Professor/Associate Professor/Assistant Professor holding a Ph.D. shall be eligible to become a Research supervisor (guide).
- ii. In order to become a Research Supervisor (guide) –
 - a. A Professor should have at least 5 research publications in refereed journals,
 - b. An Associate/Assistant Professor should have a minimum of three (3) years of experience in teaching at a Post graduate program and a minimum of two (2) research publications in refereed journals,

- c. These criteria are subject to relaxation on a case-to-case basis at the discretion of the Director - School of Research in consultation with the Vice - Chancellor (Provost).
- iii. The Research supervisor (guide) should be a person who is a full-time teaching employee of the University.
- iv. A co-supervisor (co-guide) is allowed in interdisciplinary areas from other departments of the Institutions or other Institutions of the University as per the approval of the Dean of the respective institute.
- v. The number of Ph.D. scholars with a research supervisor (guide) who is
 - a,
 - a. Professor shall not be more than 8 Ph.D. scholars.
 - b. Associate Professor shall not be more than 6 Ph.D. scholars.
 - c. Assistant Professor shall not be more than 4 Ph.D. scholars.
- vi. In case a Ph.D. research supervisor's (guide) employment ceases with the university for any reasons not limited to, shift or transfer to another University such supervisor may continue to guide the Ph.D. scholars who are already registered under them, the TAC may at a later date appoint a new research supervisor (guide) and the original research supervisor (guide) can act in the capacity of the co-supervisor (co-guide). Such a person shall then cease to act as a Research supervisor (guide) of the University for further Ph.D. scholars.
- vii. The research supervisor (guide) shall be allotted to a Ph.D. scholar by the DRC, based upon the area of study of the said Ph.D. scholar as presented in the interview/viva-voce before the DRC and the interest area of the research supervisor, keeping in mind the number of Ph.D. scholars already under his/her supervision as per sub clause "v" of this clause.

11. Role and Responsibility of Research Supervisor (guide)

- i. The Ph.D. research supervisor (guide) shall carry all the responsibilities in terms of guidance and providing supervision to the Ph.D. scholars, academic and course-work planning, evaluating the progress of the

research, execution of the research. The research supervisor (guide) shall provide counselling and guidance to the Ph.D. scholar on the nature of course work and research, standards and quality of research work and presentations.

- ii. The research supervisor (guide) should be available to the Ph.D. scholar for consultations and guidance throughout the period of the Ph.D. program. The research supervisor (guide) is supposed to maintain a regular contact to map the progress of the work completed by the Ph.D. scholar.
- iii. The research supervisor (guide) must inform the Ph.D. scholar beforehand, about his/her absences from the University for an extended period of time (i.e. more than three (3) months).

12. Change of Research Supervisor (guide)

- i. The Ph.D. Scholar may be allowed to change his/her allotted Research Supervisor (guide), up on writing to the DRC of the concerned Institute stating the reasons for requesting such change, the DRC shall after ascertaining the genuineness of the application, may approve such request and forward the same to the URC, who shall then refer it to the Vice-Chancellor (Provost) for his/her approval.
- ii. If the request is approved, a new research supervisor (guide) shall be allotted to the Ph.D. scholar by the DRC. However, such request can be made only once during the entire duration of the Ph.D. program.
- iii. Under unavoidable and exceptional circumstances like sickness, death or leave due to prolonged sickness or in cases where the allotted Research Supervisor (guide) is not available or cannot continue in his capacity as a Research Supervisor (guide), the Director - School of Research on the recommendations of the DRC of the concerned institute shall change such Research Supervisor (guide).

13. Constitution of the Thesis Advisory Committee (TAC)

- i. A TAC, shall be constituted, for each Ph.D. scholar, the Convener of TAC shall be the Research Supervisor (guide) of such Ph.D. scholar.
- ii. The TAC shall be formulated as soon as the candidate is admitted in the Ph.D. program.
- iii. It shall consists of the following members –
 - a. Dean of the respective Institute, in case the Dean is also the Research Supervisor (guide) of the Ph.D. scholar, he/she shall nominate another person from the same/similar field of study from within the Institute.
 - b. Research Supervisor (guide) in the capacity of Convener, and the co-supervisor (co-guide), if any.
 - c. Two (2) expert members nominated by the Dean, from which preferably one (1) member is from outside the University.
- iv. The TAC shall have the following responsibilities –
 - a. Review of the research proposal and finalise the topic of research,
 - b. Provide guidance to the Ph.D. scholar to develop the study design, methodology of research and identify the appropriate course work that the Ph.D. scholar shall undertake.
 - c. To make a periodic review of the progress of research and assist the Ph.D. scholar.

14. Procedure for Registration

- i. All the candidates admitted in the Ph.D. program, shall be provisionally registered for the program till the approval of the title. The registration of the candidate shall be confirmed after the approval of the title by the TAC.
- ii. The Ph.D. scholar shall submit a research proposal of around 1000 words containing the title, significance, scope, rationale, justification of the topic, national and international status, the research methodology and the techniques involved, reference and bibliography and the like in consultation with the research supervisor (guide), to the TAC.
- iii. The TAC may suggest necessary changes if required.

- iv. A registered Ph.D. scholar shall not be allowed to pursue any other course/program from any other University simultaneously. If any such violation is noticed, the registration of the Ph.D. scholar shall be cancelled automatically.
- v. A Ph.D. scholar shall not be permitted to submit a thesis/dissertation for which a degree has been conferred on him/her in this or in any other University. But a Ph.D. scholar shall not be precluded from incorporating any work which he/she has already submitted for a degree in this or any other university, in a thesis/dissertation covering a wider field, provided that he/she shall indicate in a written statement accompanying the thesis/dissertation about any work which has been so incorporated.

15. Cancellation of Registration: The Ph.D. registration of a Ph.D. scholar may be cancelled for any of the following reasons -

- i. Consistent lack of progress in research.
- ii. Violation of discipline, conduct and rules of the Institute/ Department/ School/ University.
- iii. Non-submission of the thesis/dissertation within the stipulated period.
- iv. Non-conformity with the rules/regulations/ordinances of the programme.
- v. Giving false information at the time of application/admission/registration.
- vi. Registration may also be cancelled on the recommendations of the TAC on account of lack of progress as reported by the supervisor and also after giving due opportunity to the Ph.D. scholar for defending his/her case.
- vii. Registration of the Ph.D. scholar shall be automatically cancelled if he/she fails to submit the Ph.D. synopsis within five (5) years from the date of registration in the case of full-time Ph.D. scholars and six (6) years from the date of registration in the case of part-time. (reasonable time)

16. Period of Registration: Norms for Extension

- i. A full time Ph.D. scholar shall be registered for a maximum period of five (5) years and part time Ph.D. scholar for a maximum period of six (6) years from the date of provisional registration. This period may be extended for a maximum period of two (2) years on the request of the Ph.D. scholar on valid grounds, provided it has been approved by the TAC. However, the Vice – Chancellor (Provost), at his discretion, may grant a grace period of ninety (90) days to submit the thesis/dissertation after the expiry of the extended period.
- ii. In case the Ph.D. scholar fails to submit the thesis /dissertation within this stipulated period, he/she shall have to re-register. For re-registration, the rules of registration applicable to a fresh application will be followed, including coursework, submission of proposal, title clearance, synopsis, thesis, etc., but the candidate shall be exempted from writing the Entrance Test and Interview/viva-voce.

17. Change in Registration

- i. The Vice-chancellor (Provost) has the discretion to permit the conversion/change of the registration from Full-time to Part-time program and vice-versa,
 - a. from Full-time to Part-time -
 - The Ph.D. scholar has to submit a “No Objection Certificate” (NOC) from the current employer.
 - Change in registration can be done at any time after the registration of the Ph.D. scholar.
 - Approval from the research supervisor (guide) and Dean of the concerned institute is required.
 - b. From Part-time to Full-time -
 - The change of registration can be done only within a period of two (2) years from the date of registration.

- Ph.D. scholars who have changed their registration under this head shall not be eligible for stipend.
 - A relieving letter from the current employer is required along with the approval from the research supervisor (guide), Dean of the constituent Institute.
- ii. Change in registration from Full-time to Part-time or Part - time to Full - time, shall be allowed only once during the entire duration of the Ph.D. program.

18. Attendance and Leave

- i. A full-time Ph.D. scholar is expected to have full attendance (as per the academic calendar). He/she has to clock his/her attendance in the manual attendance register or digital attendance mode or by biometrics, whichever is applicable. Such Ph.D. scholar shall be allowed a leave of thirty (30) days in an academic calendar, he/she is not entitled to any summer/winter breaks or any other leave. An additional leave of ten (10) days in an academic year is allowed on Medical grounds.
- ii. A female full time Ph.D. scholar is entitled to maternity leave of two hundred and forty (240) days once in the entire duration of the Ph.D. degree.
- iii. In case an additional leave is required/requested by the Ph.D. scholar, the same shall be allowed after the approval of the Director – School of Research on the recommendations of his/her TAC.

19. Evaluation, Assessment – minimum standards/ credits for the award of degree

- i. A Ph.D. scholar has to obtain a minimum of 55% marks or equivalent grade in the course-work, in order to continue, complete and submit the dissertation/thesis.
- ii. **Course work: Credit requirements and the minimum standards for completion -**

- a. The course work shall be about 8-16 credits. It shall be treated as a prerequisite for preparation of the Ph.D. Minimum four (4) credits shall be allotted to courses relating to Research methodology (mandatory) and certain other advanced level courses.
 - b. The courses shall be as per the credit hour requirement and shall also specify the content, instructional and assessment methods which will be pre-approved by the DRC (other academic bodies).
 - c. The TAC shall recommend the course work for the Ph.D. scholar.
 - d. The course work needs to be completed by the Ph.D. scholars within the first and second semesters before the confirmation of the registration. In case a Ph.D. scholar is unable to complete the course work in the stipulated time period then he/she may apply for an extension on the recommendation of the TAC which may be approved by the URC. Provided that the PhD scholar is unable to complete the course work beyond the extended period, his/her registration shall be cancelled.
 - e. The Ph.D. scholars who have completed coursework in their M.Phil. Degree and/or who have completed their M.Phil. Degree may be exempted from the coursework requirement at the discretion of the DRC and TAC.
 - f. The grades obtained by the Ph.D. scholar in the course work shall be finalised after the assessment by the TAC and the DRC. The grades shall be sent to the School of Research.
- iii. After completion of the course work the Ph.D. scholar shall undertake the research work and submit a draft of the thesis/dissertation within the time as decided by the School of Research through URC (as per the prescribed time-table).
 - iv. The Ph.D. scholar shall make a pre-synopsis seminar presentation before the TAC in which the teaching members and other Ph.D. scholars shall also be invited, prior to the submission of the draft of the thesis/dissertation. The feedback and comments provided during the

presentation may be incorporated by the Ph.D. scholar into the draft prepared by such Ph.D. scholar in consultation with the TAC.

- v. In case the TAC is not satisfied with the quality of the work presented by the Ph.D. scholar it shall ask the Ph.D. scholar to re-submit the work and deliver a fresh seminar, as per the time allotted by the TAC.
- vi. A synopsis shall be submitted by the Ph.D. scholar to the URC, after the seminar. It shall contain an introduction, chapter-wise brief, account of the work and overall conclusions.
- vii. The synopsis shall be submitted by the Ph.D. scholar within the timeline as provided by the DRC in consultation with the URC, along with the requisite fees.
- viii. The Ph.D. scholar shall have to submit the research work/thesis/dissertation within six (6) months from the date of submission of draft of the dissertation/thesis and synopsis. The period between submission of synopsis and thesis/dissertation should not be less than thirty (30) days.
- ix. The Ph.D. scholar shall have to publish at least two (2) research papers in refereed journals, preferably Web of Science / SCOPUS / Hein Database / Indian Citation Index / ABDC / EBSCO before the submission of their thesis/dissertation. The proof of the same is to be submitted by the Ph.D. scholar to the URC.
- x. The Ph.D. scholar must make two (2) paper presentations in conferences/seminars, before the final submission of the thesis/dissertation, and produce the certificates to present as a proof for evidence to the URC.
- xi. All the relevant documents shall be submitted at the time of submission of the thesis/dissertation.
- xii. Submission of the Thesis/Dissertation**
 - a. The University/Institute shall run the thesis/dissertation using a plagiarism software to detect plagiarism and other forms of academic dishonesty, as developed by the URC under clause 4 (iv) (h). The

thesis/dissertation submitted for evaluation should accompany an undertaking from the Ph.D. scholar and a certificate from the research supervisor (guide), confirming that the work submitted is free from plagiarism and has not been submitted for the award of any other degree/diploma at this or any other University. The plagiarism report shall be submitted to the URC.

- b. The Ph.D. thesis/dissertation submitted by the Ph.D. scholar shall be evaluated by the respective Research Supervisor (guide) and at least two (2) external examiners, who are not related to the Institute/University, the examiner can also be invited from outside India. The external examiners shall be appointed by the Director - School of Research from a panel of external examiners in consultation with the URC.
- c. The Ph.D. scholar shall be evaluated on the basis of his/her viva-voce to defend the thesis/dissertation, which may also be open for the public to attend. The public viva-voce shall only be held after the external examiner(s) have evaluated the thesis/dissertation, and an evaluation report has been submitted which recommends examination by viva-voce. In case the external examiner(s) does not recommend viva-voce examination, then the thesis/dissertation shall be sent to a newly appointed external examiner(s) out of the panel, and the viva-voce shall be conducted only after the approval report of such new external examiner(s). In case the newly appointed external examiner(s) also do not recommend viva-voce then such thesis/dissertation submitted by the Ph.D. scholar shall be rejected and be declared as ineligible for the award of Ph.D. degree.
- d. On the successful completion of the evaluation process and the announcement of the award of the Ph.D. degree by the University, the Ph.D. scholar shall submit, through the University a soft copy of their thesis/dissertation with the **UGC and the commissioner of Higher Education**, within a period of thirty (30) days for record

purposes and for hosting the same on INFLIBNET for it to be accessible to all institutes/universities.

- e. One hard/soft copy of the thesis/dissertation shall be placed in the University Library and one hard/soft copy is to be sent to the National Library. The University shall upload the details about the awarded Ph.D. degree on the University website which shall include the name of the candidate, title of the thesis/dissertation, and an extended abstract of the same.

xiii. Minimum requirements for the award of Ph.D. degree

- a. The Ph.D. scholar shall become eligible for the award of the Ph.D. degree only after fulfilling all the requirements and prerequisites as set under this policy.
- b. Subsequently the respective DRC of the constituent institute will take into consideration the thesis/dissertation submitted by the Ph.D. scholar pursuant to which the TAC shall determine if such candidate is eligible to be granted the degree of Ph.D.
- c. The Ph.D. scholar who qualifies through the Ph.D. programme shall be awarded the degree in the discipline of the concerned Institute in which the Ph.D. scholar is registered. The title of the Ph.D. thesis/dissertation and the name of the Institute shall also be mentioned in the thesis/dissertation.
- d. After the completion of viva-voce and evaluation of the same thereof, the results shall be sent to the URC, and after the approval of the URC, the Ph.D. degree shall be awarded to the Ph.D. scholar.
- e. Prior to the actual award of the degree, a provisional degree certificate may be issued to the Ph.D. scholar.

a. General Rules

- i. The University may at its sole discretion provide assistance to a Ph.D. scholar for any typing or binding costs that may accrue on the printing of the thesis/dissertation.

- ii. The Ph.D. scholar may also be offered the option of receiving the degree in a digital form.
- iii. The Ph.D. scholar shall be solely responsible for any plagiarism, piracy, duplication, or any sort of academic dishonesty occurring in their thesis/dissertation. Furthermore if any such act is caught or detected even after the award of the degree, the candidate shall be held liable and for this they may be penalized through cancellation of their degree. The decision of the Vice-Chancellor (Provost) shall be final.

20. Fees and Fellowship

- i. The fees for the full time/part time Ph.D. program shall be decided by the University and the same shall be mentioned in the notification released for the admission into Ph.D. program.
- ii. The Ph.D. candidates and Ph.D. scholars are required to pay the requisite fees on time, as decided by the University from time to time. The fees are subjected to revision at the discretion of the University.
- iii. The fees once paid shall not be adjusted or refunded under any circumstances even if the candidate cancels the admission.
- iv. The full time employees of the University shall be exempted from application fees.
- v. Fellowship –
 - a. All full – time Ph.D. scholars may be given fellowship/stipend on a monthly basis. The amount shall be decided by the University.
 - b. Provided, if the full-time Ph.D. scholar receives any fellowship from the government or any other sponsor, he/she shall not be entitled to such fellowship/stipend from the University.

Appendix I (Format for Research Proposal)

Submission of Research Proposal:

*The PhD scholar must submit eight copies of their research proposal.

The proposal shall cover the following:

- i. Aims and Objectives;
- ii. Rationale and significance of the Proposed study;
- iii. Literature Review (Survey/field work/experiments of the work done in the research area and explaining the need for more research);
- iv. Methodology, Tools and Techniques;
- v. Expected Conclusion and its possible value;
- vi. Plan of research;
- vii. Bibliography;

The expected word limit of the proposal shall be as communicated to the Ph.D. candidates by the School of Research

The name of the Ph.D. scholar and his/her research supervisor (guide) and co-supervisor (co-guide), if any, and the topic of research should be mentioned at the top. The proposal should be signed by the Ph.D. scholar and his/her research supervisor (guide) and co-supervisor (co-guide), if any.

Appendix II

Confirmation of Registration for Ph.D. Programme

Ref :

Date :

To

.....

Subject : Confirmation of Registration for Ph. D.

Dear Shri/Smt./Kum.....

We are delighted to inform you that Karnavati University after the approval and recommendations of the Departmental Research Committee (DRC) has approved your research topic as it is/with modification/s as follows:

Your place of research shall be the Karnavati University campus at Gandhinagar.

Your admission is now confirmed as per the Ph.D. Rules and Regulations of the University.

Please find the admission details mentioned below:

- i. Subject :
- ii. Institute :
- iii. Research Supervisor (guide):
- iv. CO-supervisor (co-guide) (if applicable) :
- v. Date of Registration :
- vi. Period of Registration: from (date) to

Note: Your admission will be governed by and subject to Ph.D. Rules and Regulations of the University.

Regards,

Registrar,

Karnavati University

Copy to:

- i. The Director, Karnavati School of Research.
- ii. The Research Supervisor (guide): Prof./Dr.
.....
- iii. The Co-Supervisor (co-guide): Prof./Dr.
.....

Appendix III - A

Certificates to be incorporated in the Ph.D. thesis /dissertation

CERTIFIED that the work incorporated in the thesis/dissertation
.....
..... (Title) submitted by Shri/Smt./Kum
..... was carried out by the
Ph.D. scholar under my supervision/guidance. To the best of my knowledge:

- i. the Ph.D. scholar has not submitted the same research work to any other institution for any degree/diploma, associateship, fellowship or other similar titles;
- ii. The thesis/dissertation submitted is a record of original research work done by the Ph.D. scholar during the period of study under my supervision and;
- iii. The thesis/dissertation represents independent research work on the part of the student.

(Research Supervisor (guide))

Place:

Date:

Appendix III - B

Declaration by the Ph.D. Research Scholar

I declare that the thesis/dissertation entitled submitted by me for the degree of Doctor of Philosophy is the record of research work carried out by me during the period from..... to..... under the guidance of and has not formed the basis for the award of any degree, diploma, associateship, fellowship, titles in this or any other University or other institution of higher learning. I further declare that the material obtained from other sources has been duly acknowledged in the thesis/dissertation. I shall be solely responsible for any plagiarism or other irregularities, if noticed at any time in the thesis/dissertation.

Signature of the Ph.D. Research Scholar:

Date:

Appendix IV

(Form to be sent to all the examiners of Ph.D. thesis/dissertation along with the thesis/dissertation)

Note: The external examiner may kindly arrange to send the adjudication report to the University within two months of receipt of the Ph.D. thesis/dissertation.

KARNAVATI UNIVERSITY

GANDHINAGAR

Ph.D. THESIS/DISSERTATION ADJUDICATION REPORT

1. Name of the Ph.D. scholar:
2. Discipline / Subject:
3. Title of the Thesis/Dissertation:
4. Name and Address of the Examiner:
5. Recommendations of the Examiner (please select one of the following):
 - i. The thesis/dissertation to be accepted for the award of Ph.D. degree in the present form.
 - ii. The thesis/dissertation to be accepted for the award of Ph.D. degree after minor corrections/revisions.
 - iii. The thesis/dissertation can be passed after obtaining clarifications at the time of viva voce.
 - iv. The thesis/dissertation be revised and resubmitted for evaluation.
 - v. The thesis/dissertation should be rejected.
6. Whether a sealed cover having questions to be asked to the PhD research scholar at the time of the viva voce is enclosed: **Yes / No**
7. List of questions/clarifications to be asked in the viva voce, along with the adjudication report.
8. List of proposed changes/revisions to be made.
9. In addition to the above, A detailed report on a separate sheet of paper for which the following may be considered:

- i. Aims, objectives and the scope of the research work and if they were well defined.
- ii. Literature review and its relevance to the research work.
- iii. Research methodology/experimental work and innovations adopted
- iv. Originality and Punctuality of the work.
- v. Analysis and adequacy of data, if any, by using standard/innovative methods.
- vi. Results/findings of the work.
- vii. Thesis/dissertation presentation with regard to arrangement of chapters, writing style, explanations, figures, captions, titles, language, references and freedom from irrelevant material/errors, etc.
- viii. Whether the thesis/dissertation could be published in the form of a book/papers at international level.
- ix. Scope of further research in the field.

The detailed report as requested shall be considered in order to decide whether the candidate is eligible to take the viva voce.

(Signature)

Name:

Date:

Encls: Sheets

Appendix V

Consolidated Report of the External Examiner on *Viva Voce*

The viva-voce of Shri/Smt./Kum.
..... was conducted on
.....(day and date). The performance of the Ph.D. scholar
was satisfactory/ unsatisfactory.

We have conducted the *viva voce* of Ph.D. thesis/dissertation entitled:
.....
...in the Karnavati University/or at..... On
.....

*The performance of the PhD scholar was satisfactory. We recommend that
he/she be awarded the Ph.D. Degree.

*The performance of the PhD scholar was unsatisfactory. We recommend that
he/she should not be awarded the Ph.D. Degree. The *viva voce* will be arranged
again on

*(tick which is applicable)

(Research Supervisor)

(External Referee)

Name:

(Name and Signature with Seal and Stamp)

Signature: