



NAVRACHANA UNIVERSITY
RULES AND REGULATIONS FOR PhD PROGRAM
2018-19

I. PhD TERMS

“University” means Navrachana University

“Program” means Doctoral Program leading to the award of the doctoral degree - PhD.

“Research Advisory Committee” – (RAC) means the Committee constituted to oversee the overall conducting of the NUV PhD Program

“Guide / Supervisor” means any faculty member of the University or outside the University who has been recognized by the University to guide the research scholars.

“Doctoral Committee” (DC) means a Committee constituted by the University for each Scholar, to monitor the progress of his/her research work.

“Scholar” means any candidate admitted by the University either under Full-time or Part-time category for pursuing research for the award of PhD degree of the University.

“Course” means a theory subject/practical subject/directed study prescribed by the Doctoral Committee, for the scholar to undergo as a part of the PhD Program.

“Coordinator” means Head of the PhD Program at the University.

II. CATEGORIES OF PhD CANDIDATES

There shall be three categories of PhD candidates.

Full Time candidates: All candidates who pursue full time research in Navrachana University shall belong to this category.

Part Time (Internal) candidates: All candidates employed in Navrachana University who pursue part time research in this University shall belong to this category.

Part Time (External) candidates: All candidates working in other Institutions, pursuing PhD Programs in this University while continuing to serve in their respective Institutions /organizations shall belong to this category. They shall pursue research in their place of employment and /or in this University.

III. ELIGIBILITY

Candidates for the degree of Doctor of Philosophy must, at the time of application, hold Master’s / M. Phil degree in any discipline with at least 55% marks or an equivalent grade from a recognized University. Diploma courses which are considered equivalent to Masters Degree (e.g. PGDIM from IIMs) with 55% marks or equivalent grade, recognized by AICTE/UGC only would be considered. In such cases candidates would be required to produce the necessary certificate(s) from competent authority.

IV. ADMISSION PROCEDURE

The number of available seats in the various specializations will be determined well in advance and

will be notified in the University website/ advertisement

The candidates desirous of pursuing PhD degree shall submit the application in the prescribed form, by due date to the NUV office. The application form and thenecessary details would be available in the Navrachana University admission office / University website.

An entrance exam would be conducted which would comprise of the following

- 1) Written exam (General and discipline specific) (50% weightage)
 - Section A - Objective Type General Aptitude test designed to test reasoning ability, language and comprehension skills, divergent thinking and general awareness of the candidate. (30% weightage).
 - Section B – Objective type compulsory questions based on the subject selected by the candidate (20% weightage)
- 2) Statement of Purpose (25% weightage)
- 3) Viva. (25% weightage)

Entrance examination shall be conducted to ensure a minimum threshold knowledge level and capability of candidates aspiring to pursue PhD. Therefore, the entrance examinations should be moderately challenging. The candidates will be selected on the basis of their performance in these examinations and on submission of all original documents and payment of fees. The University may decide separate terms and conditions for those students who qualify UGC/CSIR (JRF) Examination/SLET/GATE/teacher fellowship holder or have passed M.Phil Program for PhD Entrance Test. Provided the eligibility criteria are satisfied, very senior/experienced candidates, for example those working at the level of a Secretary of a ministry in the government or Director/ Vice President/ General Manager in a public or private sector company or a Chief Engineer may be exempted at the discretion of the Research Advisory Committee of the university from taking the PhD entrance examination.

V. DURATION OF PhD PROGRAM

Stage	Stage of Research	Timeline
Stage I	Course Work	One year (during Semester 1 and 2)
Stage II	Research proposal presentation leading to Confirmation of PhD Candidature	After successful completion of coursework, the Research proposal is to be presented. The scholar shall also have to appear for an interview before a Committee chaired by the Dean/Head of the Program. Once the suggestions received are duly incorporated, the Registration will be confirmed.
Stage III	Thesis Writing	After formal Registration, the doctoral research and thesis writing will commence.
Stage IV	Thesis submission	The duration of the PhD program - a) Minimum time limit – 2 years from the date of registration. b) Maximum duration of the PhD program is 6 years from the date of admission for a full-time student and 7 years for a part-time student.
Stage V	Evaluation and Viva-Voce	Once the comments from all the external examiners are received, the Viva-Voce will be conducted

VI. STAGE I: COURSE WORK

In the PhD program, course work is compulsory for all the participants, following the ‘Minimum Standards and Procedure for Awards of M. Phil /PhD degree Regulation 2017’ issued by UGC.

A PhD scholar shall be required to undertake course work of 24 Credits. The course work shall be treated as Pre – PhD preparation. The coursework may take two semesters, and coursework must be completed before PhD research can begin. The coursework primarily includes, but is not limited to, research methodology, communication, computer applications. In addition to this, depending on the area of PhD work, students are required to complete discipline related courses as well. General course work will be common for all programs and shall be conducted in the 1st semester of PhD. The scholars shall undergo discipline specific course work which may be pursued alongside the general course work as per recommendations of the research advisor.

Course work will be conducted over a period of 2 semesters

Semester 1 - General Course Work

Semester 2 - Discipline Specific Course Work (Conducted by concerned Discipline/Department)

Course Name	Credits	Type of coursework
Research Methodology with Scientific and Technical Writing credits to be included	6	General Course Work Total Credits = 09
Computer Applications	2	
Teaching Pedagogy - Theory	1	
Pedagogy practice	1	Discipline specific course Total Credits = 11
Independent Study/Research Project	2	
Courses related to Doctoral study (2)	6	
Seminar/Colloquium	2	
		TOTAL CREDITS = 20

(proposed in AAB 2018)

Minimum of 75% attendance is required for each course. During the PhD course work stage, if the candidate is not able to attend the classes due to unavoidable circumstances, the same needs to be communicated to Program Coordinator citing the reason.

VII. PhD COURSE WORK ASSESSMENT

PhD Course work assessment will be conducted as follows -

1. Assessment of General course work.
2. Assessment of Specific course work

Minimum grade for passing in individual components CC (5.6 - 6.5); Minimum overall Grade = 6.0

Grading:

For the course work, a PhD scholar will be awarded a letter grade based on the combined performance in all the assessment components. These letter grades are assigned points on a 10-point scale as described in the table below:

Letter Grade	AA	AB	BB	BC	CC	CD	DD	F	I	P
Corr. points	10	9	8	7	6	5	4	0		
Interval	9.6	8.6	7.6	6.6	5.6	4.6	4.0	< 4.0		
	To	To	To	to	to	to	To			
	10	9.5	8.5	7.5	6.5	5.5	4.5			
Descriptors	Outstanding - Exceeds criteria	Excellent - Meets all criteria	Very Good Meets most criteria	Good - Meets well require d criteria	Above Average - Meets more than minimum criteria	Average Meets well minimum criteria	Pass Meets minimum criteria	Fail	In-complete	Pass

The grade points are obtained by multiplying the numerical points of a letter grade by the credits.

'I' grade is awarded if the scholar is unable to appear for the examination due to unforeseen circumstances such as illness, and accident/death in the family. The application of absence must be supported by lawful documented evidence.

'F' grade is awarded in a course if the scholar was:

- not allowed to appear for end semester exam due to lack of attendance during the semester,
- if the performance and fulfillment of academic requirements/course criteria were not met, or
- for reasons of academic misconduct like if a case of malpractice in examination or plagiarism is registered against the scholar.

VIII. STAGE II: CONFIRMATION OF PhD CANDIDATURE

On successful completion of the Course work (General and Specific), the scholar shall be issued a certificate to this effect which shall be a pre-requisite for PhD registration/confirmation.

The candidate having qualified in the above examination shall submit a research proposal in consultation with the guiding teacher in front of the RAC.

The allocation of the Supervisors will be done by a committee of the respective departments headed by the HOD concerned and the Research Supervisors under whom vacancies are available. Allotment will be done depending upon the number of vacancies available with the Research Supervisors, specialization of the supervisors, and the research interests of the candidates as indicated by the candidates during the interview. The allotment/allocation of supervisor (s) will not be left to the choice of the teachers or the candidates. While the University prefers interdisciplinary research, there is a need to be accommodative in this regard. If a candidate pursues interdisciplinary research, a co-advisor may be co-opted to guide the student.

The research proposal presented must successfully explain various aspects of the proposed research, e.g. motivation of undertaking the research, literature survey, gaps in the literature, identification of research problem, proposed hypothesis, methodology, data sources and tentative chapterization.

The scholar shall also have to appear for an interview before a Committee chaired by the Dean/Head of the Program.

Candidate's registration will get 'Confirmed', only when: she/he

- (a) Clears the coursework satisfactorily and
- (b) Her/his research proposal gets final approval of the NUV RAC.

Until this stage, the enrolment to the PhD Program was only *provisional*.

A Candidate is allowed to submit her/his thesis after a minimum period of TWO years from the date of 'Registration / Confirmation'. All candidates are required to confirm their candidature before completion of the third year from the date of admission/enrolment.

ALLOCATION OF RESEARCH SUPERVISOR

As per UGC guidelines, the University will decide the criteria for the faculty to act as a supervisor, predetermine the number of students to be admitted to PhD every year and conduct admission tests on regular basis. The University will also have to declare the number of seats available for PhD course either via advertisements or on University websites.

NORMS

As per UGC norms (2009), the University shall allocate the supervisor from amongst the regular/adjunct faculty members in each department.

A PhD Supervisor should possess Ph.D. degree in the relevant area of research in which he/she proposes to guide the scholar and shall be required to inform in writing his/her willingness to be recognized for guiding PhD students to the University Authorities and only thereafter shall they be deemed recognized as guides for research degree.

A member of the faculty/a professional/a scientist holding a PhD degree in a subject discipline or in a related subject discipline shall be considered for recognition to guide/supervise research leading to the award of a PhD degree in his/her subject discipline or in a discipline related to his/her main subject discipline.

He/she should have a minimum of five publications (books, chapters in books, publications in peer-reviewed Indian/foreign journal/s of repute, conference proceedings) and of these at least two shall be after getting PhD degree. The citation index/impact factor of the concerned publications has to be adequate.

An Assistant Professor, in order to be eligible to guide a scholar, must have minimum teaching (UG or PG)/research experience of 5 years of which at least 2 years should be after attainment of the doctoral degree. Experience as a Co-guide for 2 years is essential for an Assistant Professor having a fresh doctoral degree and not having minimum 2 years of postdoctoral teaching/research experience.

NUV Faculty having fresh doctoral degrees may assist as Co-guides in research done in one's own discipline to offer constructive critique for disciplinary/ methodological aspects. If the area of research were not related to their discipline, an active participation during the different stages of the doctoral program would familiarize/equip them with the required expertise to independently guide scholars in future.

In cases where the Supervisor has three or lesser number of years before retirement, a Joint Supervisor shall be mandatory.

Normally no change of Research Supervisor is permitted. However, in exceptional cases, it can be permitted. If a Research Supervisor retires or takes up another assignment outside NUV on deputation/lien, the concerned

scholar will be permitted to continue his / her research under the same Research Supervisor OR he/she may be permitted to change his / her Research Supervisor if he/she desires so. The date of registration, the area of research and the title of the study shall remain unaltered.

There may be one Co-guide/ Joint Research Supervisor from the concerned department of the University/Industry /other Institutions with the consent of the Provost. The credit for the Joint Research Supervisor should be the same as that of the Research Supervisor for a permissible number of candidates (for Joint Supervisor) only.

A Professor, appointed by the University, shall be deemed as recognized for guiding Ph.D. students, in their respective subjects and will be permitted to take a maximum of eight candidates. Research Supervisors in the cadre of Associate Professor will be permitted to take a maximum of seven candidates and those in the cadre of Assistant Professor will be permitted to take a maximum of six candidates subject to meeting the eligibility criteria.

3. STAGE III: THESIS WRITING

The process of allotting the Research Supervisor to guide the student during her/his thesis writing stage would be over along with the successful Confirmation of PhD Candidature. The Guides would be allotted as per the subject/topic selected and strictly as per UGC regulations.

The 'Title' of the thesis will also get finalized once the candidate's research proposal is approved and her/his candidature is confirmed.

If required, the 'Title' approved at the time of Confirmation Seminar may be changed ONLY ONCE 'partially' before the thesis submission. Under such circumstances, the student needs to apply to RAC through her/his Supervisor for the same.

EVALUATION OF PROGRESS IN DOCTORAL RESEARCH

The Doctoral Committee - To monitor the progress of research of a student, there will be a Doctoral Committee with the following composition:

- Chairman - A faculty member other than the Supervisor(s) to be nominated by the RAC
- Member(s) - Supervisor(s)
- Members - Two other faculty members of which 1 should preferably be from another/related department.

IX. PERIODIC EVALUATION OF THE PROGRESS IN DOCTORAL RESEARCH

After confirmation of the title, the scholar needs to work in association with the Research Supervisor and the Doctoral Committee (DC).

The scholar must report their progress to the DC on a regular basis. Once in every six months, they must meet their DC for making a formal presentation in front of them, and the concerned DC would certify his/her progress to the Research Division.

In case the candidate is not presenting her/his research to the concerned DC for more than SIX months, her/his registration for PhD program may be automatically cancelled.

PhD scholars are also required to submit the proof of acceptance of at least TWO articles in two reputed Refereed Academic Journals, during their thesis work stage.

X. STAGE IV: THESIS SUBMISSION PROCEDURE

The duration of the PhD program is as follows:

The minimum duration of the PhD Program is four semesters ie 2 years from the date of Registration.

Maximum duration of the PhD program is 6 years from the date of admission for a full-time student and 7 years for a part-time student.

A PhD scholar must deliver a pre-submission internal defense seminar to all faculty members of the Institute, without which submission of the thesis is not possible.

The student is required to incorporate all suggestions/comments received during internal defense in the thesis to be submitted.

The student needs to submit her/his thesis within SIX months from the day of the pre submission seminar.

XI. MANDATORY REQUIREMENTS FOR THESIS SUBMISSION

- a) Completed Course work with a minimum Grade CC.
- b) The scholar should have completed a minimum period of TWO years from the date of 'Registration/Confirmation'.
- c) Successfully published / letter of 'acceptance' of two articles in two reputed refereed academic journals
- d) Presentation of at least one progress seminar every semester.
- e) Successful defense of the thesis at the internal defense seminar
- f) Clearance of all dues
- g) Have submitted FOUR copies of "Synopsis / Abstract" and FOUR original copies of the thesis duly signed by the candidate and countersigned by the Supervisor/Guide declaring that it is an original work and not submitted partly or fully for the award of any degree in any other Institution
- h) Have submitted a satisfactory anti-plagiarism report.

XII. STAGE V: THESIS EVALUATION PROCEDURE AND VIVA-VOCE.

The Supervisor/Guide of a candidate shall, after her/his pre-submission defense, two weeks in advance of the submission of PhD thesis, forward four copies of Synopsis/Abstract of the thesis to the Registrar's office in both soft and hard format.

The Supervisor/Guide of the candidate shall also submit names of FIVE External Experts on the subject area - at least TWO External Examiners must be named from outside of the State.

The Guide/Supervisor will rank the names of the five proposed External Experts in the order of preference and forward the document to the Registrar's Office.

Only two external reviewers for final evaluation of the thesis may suffice. Accordingly, the Registrar's Office will send the soft copies of the abstract of the thesis to TWO Experts in the order approved for checking their availability and willingness for the evaluation.

Upon receiving a positive response, the hard copy of the thesis will be dispatched to the External Experts.

If one of the three top-ranked External Experts expresses her/his inability to evaluate the thesis owing to prior commitments/by the proposed timeline, the External Expert ranked next in the same order will be contacted.

On submission of the evaluation report by at least TWO External Experts, viva-voce will be conducted if both reports are favorable. In case, one of the evaluation reports is not favorable, the evaluation report of the third examiner will be considered. The candidate is required to defend her/his thesis in front of the External Expert (at least ONE has to be present), Research Supervisor, Head of PhD Program.

The External Experts may recommend that the degree be awarded subject to satisfactory viva voce test on the thesis, or that the thesis may be rejected, or that the thesis be resubmitted.

The PhD degree shall be awarded only after TWO external experts unanimously recommend for the same, and following the successful viva-voce.

In case of resubmission of thesis, the thesis must be resubmitted within SIX months from the date of supply of comments of the External Experts to the candidate.

The thesis may only be resubmitted ONCE.

In case of resubmission, the thesis needs to be sent to the original External Experts, unless they explicitly express their inability.

Any issue concerning the PhD thesis evaluation procedure or interpretation of the approved provisions shall be referred to the Provost, NUV, whose decision shall be final.

XIII. EXTENSION PROVISION IN THE PhD PROGRAM

If any candidate who has received confirmation for the PhD program fails to submit her/his thesis within the stipulated years (from the date of enrolment) she/he may seek for 'Extension'.

Only **ONE year extension** will be given to the candidate if the Doctoral Advisory Committee (DAC) and Research Advisory Committee (RAC) are satisfied by the progress of the thesis work.

Candidate has to submit her / his thesis within the extension period.

If the candidate is not able to submit her / his thesis during the extension period, her / his enrolment from the PhD Program will be cancelled automatically.

XIV. DE-REGISTRATION FROM THE PhD PROGRAM

If any candidate who has received confirmation for the PhD program fails to submit her/his thesis within the stipulated period, she/he may apply for the 'Deregistration'.

Candidate who has been granted extension for the submission of PhD thesis will not be permitted to avail the facility of Deregistration.

Candidate willing to apply for Deregistration has to send her / his request for deregistration in writing through Supervisor to the Program Coordinator.

Deregistration will be allowed only when the Provost/Coordinator of Program approves the recommendation of the Chairperson (Research).

Any Deregistered candidate may Re-register herself/himself within FOUR years from the date of Deregistration after payment of the registration fee.

During the Re-registration of a deregistered candidate, she/he has to furnish the following documents - Deregistration Certificate - Confirmation Certificate - Re-registration Fee Payment Certificate.

In case of deregistration, the candidate has to submit her/his thesis within FIVE years from the date of Deregistration. Failing to do so, her/his enrolment from PhD Program will be cancelled automatically.

ANNEXURE 1 : GENERAL COURSE WORK DETAILS.

General Course work objectives:

- To understand research methodology.
- To understand literature review process and formulation of a research problem
- To understand data collection methods and basic instrumentation
- To learn various statistical tools for data analysis
- To learn technical writing and communication skills required for research
- To create awareness about intellectual property rights and patents
- To understand and appreciate ethics in research
- To conduct independent study/research activities.

Components of the General Course Work

RESEARCH METHODOLOGY

INTRODUCTION TO RESEARCH

- a) Scientific Enquiry
- b) Meaning, Concept, nature, steps, types and characteristics of research
- c) Philosophical and Sociological foundations of research
- d) Interdisciplinary approach and its implications in various research areas

PARADIGMS OF RESEARCH

- a) Purpose Of Research – Exploratory, Descriptive , Causal / Explanatory
- b) Positivist, phenomenological and logical inquiry

METHODS OF RESEARCH

- a) Qualitative and quantitative methods of research –
- b) Historical, Ex-Post Facto,
- c) Case Study, Ethnography, Documentary and Content Analysis,
- d) Survey (Normative, Descriptive, Evaluative Etc.)
- e) Experimental Studies
- f) Field/ Laboratory studies

DESIGNING RESEARCH STUDIES

- a) Conceptualization of research problem
- b) Development of objectives -
- c) Hypothesis formulation
- d) Operationalization

METHODS OF DATA COLLECTION

- a) Concept of sampling and other concepts related to sampling.
- b) Probability and non-probability samples, their characteristics and implications.
- c) Tools of data collections, their types, attributes and uses.

- d) Designing, research tools-like questionnaire, Opinionnaire, observation schedule, interviews, scales, checklists, achievement tests (item analysis, discrimination index, difficulty level), aptitude tests, personality inventory, focus group discussion.
- e) Standardized, non standardized, self developed tools.
- f) Ascertaining psychometric features of tools (objectivity, validity, reliability, feasibility).

METHODS OF DATA ANALYSIS

- a) Analysis of qualitative data based on various tools
- b) Analysis of quantitative data and its presentation with tables, graphs etc.
- c) Statistical tools and techniques of data analysis-measures of central tendency, dispersion
- d) Decision making with hypothesis testing through parametric and non parametric tests
- e) Validity and delimitations of research findings

INTERPRETATION AND DRAWING INFERENCES

- a) Differentiating interpretation and inferences
- b) Interpreting outcomes of analysis

REPORT WRITING AND EVALUATION

- a) Principles of report writing and guide lines according to style manuals.
- b) Writing and presentation of preliminary, main body and reference section of report.
- c) Evaluation of research report.

RESEARCH ETHICS

COMPUTER APPLICATIONS

- a) E-learning ; e-research in literature review
- b) Use of internet in material collection to create presentations and add effects.
- c) Use of MS Word, Excel, Power- Point and other relevant software
- d) Use of SPSS, graphical software - Definition, objectives and features, data analysis using SPSS , Data entry creating variables, switching to data labels, data analysis , Frequencies, recording into different variables, cross tabulations and layers.
- e) Consulting e-journals, research sites, web indexes, e-mail discussion groups, virtual libraries and web search engines.

SCIENTIFIC AND TECHNICAL WRITING

- a) Basics of Communication skills
- b) Scientific and Technical Writing
- c) Citation and acknowledgement, plagiarism tools, reproducibility and accountability.
- d) Ethical, legal, social and scientific issues in scientific Research.
- e) Role of IPR in Research and Development.
- f) Research Paper Preparation and Presentation
- g) Structure of a Research Proposal, Synopsis

GENERAL COURSE WORK WILL BE FOLLOWED BY DISCIPLINE SPECIFIC COURSE WORK FOR ONE SEMESTER.

