CHANAKYA
UNIVERSITY

The Regulations Governing Ph.D. Programme

(As approved by the Academic Council in a meeting held on 08.12.2022)

Index

No	Particulars
A	Preamble
B	Title, Application and Commencement
C	Centre of Research
D	Categories of Research Scholars
E	Eligibility for Admissions
F	Glossary
G	Duration of the Program
H	Procedure for Admission
I	Recognition of Research Supervisors
J	Functions of Research Supervisors
K	Course Work
L	Scholarship
M	Study Leave
N	Committees and Their Functions
O	Submission of Synopsis
P	Submission of Thesis
Q	Board of Examiners
R	Adjudication
S	Public Viva Voce
T	Innovation and IPR
U	Consolidated Recommendation
V	Research Degree
W	Publication of Thesis
X	E Depository with INFLIBNET
Y	Code of Ethics
Z	Cancellation/ Revocation of Cancellation of Registration

A. Preamble:

Doctor of Philosophy degree recognises independent research of a Scholar in an **Individual or Multiple (multi-disciplinary)** domains of study, as evidenced by original and novel contribution for theory building through an **Objective and Empirical** process. As Chanakya University envisions Knowledge Creation for Social Transformation, Theoretical, Empirical, Applied and Action research is accorded high priority with a focus on encouraging Inter/ Muti-disciplinary approach in exploring **India rootedness for Global Challenges**.

The following regulation is a guide towards ascertaining the **Standards and Procedures** for the PhD programme of Chanakya University.

B. Title, Application & Commencement:

These shall be called, **'The Regulations Governing Chanakya University Ph.D. Programme – 2023'**. These Regulations are applicable to the Candidates seeking admission to the Ph.D. programs and shall come into force on its approval by the Academic Council and the assent by the office of the Chancellor, Chanakya University.

They Shall come into force from the Academic Year commencing from 2022-23.

C. Centres of Research:

The Doctoral studies shall be undertaken in Schools/ Centres of Chanakya University and Research Institutes/ Organizations of eminence, which are approved by the Competent authorities and recognized as **Research Centres as per the Statutes of the University.**

D. Categories of Research Scholars:

a) **Full Time PhD Scholars**: Scholars who pursue Research in the University or the recognized centres, under the guidance of a Research Supervisor till the **Submission of the Thesis,** as Regular students attending to Research and any other assigned responsibilities.

b) **Part Time PhD Scholars**: A Scholar shall be considered as a Part Time scholar subject to the terms of engagement regarding attendance and assigned responsibilities, as decided by the concerned School Research Committee.

Conversion: The University may permit the conversion of scholars from Full-time to Part-time or vice-versa in respect of registered candidates for valid reasons as recommended by the Doctoral committee subject to the approval of the SRC. **The conversion is allowed only once during the complete period of research subject to a prescribed fee but not allowed**

for those who have already completed (after the Course Work) **One Year as Full Time and Two years as Part Time** research scholars. In case of conversion, the eligibility for Research Fellowship shall be subject to review by the SRC and approval by the VC.

E. Eligibility for Admission:

2 Years Master's degree with **an aggregate of 55%/** 4 Year UG degree with Professional Qualification, such as BE/ other equivalent, having an aggregate of **60%/** Equivalent degree from a Foreign educational institution accredited by an agency, as authorized by the Law of the country.

The University shall encourage scholars **pursuing research in emerging and applied domains**, which may be **Inter/ Trans disciplinary** in nature. Hence, on proven competence, a candidate may be allowed to take up research in an **inter-disciplinary** domain**, without having the requisite PG/ UG** degree in the stated domain of research.

F. Glossary:

Research: A systematic investigation into specified domains in seeking to establish facts, find solution or to reach new conclusions to contribute to the body of knowledge under the guidance of a nominated supervisor.

Regulations: Procedures guiding the process of executing the PhD program to align with the stated outcome and Vision of the University.

Discipline: A chosen Domain of learning comprising of related courses and which indicate the Nature of the Program.

Multi-Disciplinary: Combining several academic programs or specialisations in addressing a research problem. E.g: Public Policy.

Inter Disciplinary: Domains of study related to More than One discipline with interactive understanding of Concepts. E,g.: Entrepreneurship.

Trans-Disciplinary: Going beyond the boundaries of Disciplines to seek a holistic approach in seeking knowledge or establishing truth. E.g: Bio-Informatics.

CGPA: Cumulative Grade Point Average is a Grading method in a scale of 10, which considers the Average credit points earned on the total courses taken during the program. It is expressed up to two decimal places.

RIC: Research and Innovation Council, the apex body headed by the Vice Chancellor to guide the Policies and Procedures related to Research and Innovation in the University.

SRC: School Research Committee, headed by the Dean of School, in charge of offering the PhD degree programme from the School.

DC: Doctoral Committee is headed by the Research Supervisor, in charge of guiding the research of individual Scholar.

CURE: Chanakya University Research Eligibility Test, conducted by the University to admit eligible candidates for the PhD programme.

JRF: Junior Research Fellowship is the Exam conducted by University Grants Commission and Council for Scientific Industrial Research to determine the eligibility to pursue Research in Institutions across India.

UGC NET/ KSET: National Eligibility Test conducted by the UGC and Karnataka State Eligibility Test conducted at the State level to determine the eligibility to qualify for Teaching positions in UG Institutions.

GATE: Graduate Aptitude Test in Engineering, conducted by the IISC and IITs, to test the understanding in Engineering and Science subjects to test the eligibility for PG programs and admission to select PSUs in India.

Supervisor: A Regular Qualified faculty (either through PhD or Practice), of the University, who shall guide an individual scholar towards the completion of the PHD Programme. Also called Research Guide.

Course Work: The One Year preparatory program to be undertaken by the Scholars, before the commencement of the Research, comprising of courses related to research methods and the domain under study, including Computer skills.

Course: The Specific Subject (paper/component) of a programme. They vary in Nature, Quantum, Instructions, Importance, Progression, Evaluation and Credits based on the Expected and Measurable Outcome of the Course.

Credit: A unit by which the Course work/ Learning emphasis/ Teaching Efforts are measured, especially in terms of Lecture/ Lab Sessions/ Tutorials. It determines the number of hours of instructions required per week in a semester.

Formative Assessment: Continuous Formal and Informal procedures to assess learning and adapt measures to improve learning effectiveness. These are Student, Course and Faculty centric measures.

Summative Assessment: Methods to summarize the Students' learning in a course at the end of the term. This is executed along with Formative Assessment methods.

Colloquium: A periodic academic seminar conducted by the Doctoral Committee to assess the progress of Research of the scholar to review progress and suggest changes for incorporation or identify unique propositions.

Synopsis: A Brief summary of the Research work inclusive of the Statement, Objectives, Hypotheses and outcome of the research. The thesis in a nutshell.

Plagiarism: Wrongful representation of other's ideas, expressions and thoughts in the thesis, without due acknowledgement against academic integrity and ethics.

Viva Voce: Defence of the Research work or progress by the Scholar through an Interactive presentation before an invited audience including the Supervisor and others.

IPR: Intellectual Property Rights refers to the intangible creations of human intellect, including Ideas, Thoughts and Concepts that may be owned by the creator and cannot be used by others without due acknowledgement or process.

INFLIBNET: Information and Library Network Services is an Inter University centre of the UGC to promote and facilitate Library and Information resource sharing for furthering Knowledge and Research among Higher Education.

G. Duration of the Programme:

The Ph.D. programme shall be for a minimum duration of 3/4 Years for Full Time/ Part Time scholars, including Course Work and a Maximum duration of 5/6 years for FT/ PT Scholars from the date of Admission to the Program. Any extension beyond the above limits will be through a process of re-registration, as governed by the relevant Academic Statutes/ Ordinances of the University. Persons with Disabilities (Divyaangs of more than 40%), may be allowed a relaxation of additional 2 years and Women candidates shall be eligible for maternity leave as per the Government regulations.

H. Procedure for admission:

The University shall notify the total number of seats available for the Doctoral program for the academic Year, for specific disciplines based on the availability of Supervisors.

The University shall admit Scholars through a Personal Interview on qualifying in the Chanakya University Research Eligibility **(CURE)** Test or UGC/ CSIR Junior Research Fellowship **(JRF)** or National Eligibility Test **(NET)** or Karnataka State Eligibility Test **(KSET)** or a Score of 600 and above in the Graduate Aptitude Test in Engineering **(GATE)**. These Tests results shall have Two Year validity from the Date of announcement.

The CURE is a 100 marks test, comprising of Multiple Choice and Descriptive questions, with the syllabus consisting of 50% on Research Aptitude, Digital Skills, etc. and 50% on the Subject of Research. **Students securing 50% marks are eligible** to be called for the Interview.

The University shall decide on the number of candidates to be called for the interview, which shall carry **50 Marks**, based on the seats available for the program. The selection shall be based on an assessment with a **weightage of 70% for the Written test and 30% for the** Personal Interview.

Eligibility may not necessarily mean Enrolment to the program, as the admission for the program is subject to the number of Research Supervisors and other applicable facilities.

Notification: The University shall notify the details of admission to the program, in the institutional website and through advertisement in at least One National and One Regional publication, which shall include, the criteria for Eligibility, the Procedure for admission, the List of Supervisors and Expertise, Examination centre/s and other related information.

The University shall publish the list of Supervisors (Name, Designation, School/ Centre) along with the details of the registered Scholar, topic of the Research and Date of admission on the Website, www.chanakyauniversity.edu.in to be updated every academic year.

The Eligibility Test shall be conducted at the University/ Selected Centres and/or in the online mode, based on requirement and suitability.

The School Research Committee shall constitute Interview Boards based on the Domains of research comprising Supervisors and distinguished Industry experts. The Interview shall consider the Research aptitude of the Scholar, the relevance of the topic of study and the resources available in the University/ Centres.

I.   **Recognition of Supervisors:**

Regular Faculty of Chanakya University shall be eligible to be Research Supervisor. Professors, Associate Professors and **Assistant Professors, with 3 years Post PhD Teaching experience** (which may be relaxed for Faculty with excellent research experience of 5 years or more, as evidenced by Publications, Projects, Consultancy, Training, other) of the University/ Research centres, shall be considered eligible to be appointed as Research supervisor.

A Professor/ Associate **Professor of Practice** of Chanakya University, with exceptional record of Professional Practice/ Research/ Projects/ Innovation/ Consultancy / Publications or other evidences of Academic excellence shall be considered as Eligible for being Research Supervisor, on the approval of Board of Studies, as recommended by the SRC.

Co-Supervisor: In case of topics which are **Multi/ Inter-disciplinary,** requiring multiple perspectives, the School may appoint a Co-Supervisor from within/outside the University, based on Industry/ Professional expertise on approval by AC as recommended by SRC.

A Professor/ Associate Professor/ Assistant Professor can guide a maximum of 8/6/4 scholars at a given time as Supervisor. **Research Supervisor cannot increase the number of scholars under guidance by using recognition from multiple Universities/ Institutions.**

Faculty may be allowed to take research Scholars for **Supervision till the age of Superannuation at 65 years**. However, for Professors/ Professionals with exceptional credentials, the SRC may recommend Supervisorship, beyond the age of superannuation, subject to the approval of the Academic Council.

Change of Supervisor: A Change of supervisor may be effected due to institutional Separation/ Indisposition/ Incompatibility, affecting academic interface between the Supervisor and the Scholar. The Change in the supervisor, is subject to the approval of the office of the VC on the recommendations of the SRC.

J. The Functions of the Supervisor/ Co-Supervisor

The Supervisor/ Co-Supervisor be responsible for guiding **Research**, facilitate **Professional** learning and mentoring the **Holistic** development of the Scholar in alignment with the vision of the University.

K. Course Work:

Course work is a **Mandatory preparatory course for PhD** for both Full Time and Part Time candidates administered by the School Research Council. The appropriate courses to enhance the Domain knowledge and Research skill of the Scholar shall be decided by the SRC, within a band of **16 - 20** credits. The Scholars may be allowed to pursue Online courses as part of the Course work, **up to 40% of the given credits of the Course work.**

Further, during the PhD programme, the Scholars shall be required to take up Credit based **(2-4)** course in **Teaching/ Education/ Pedagogy** and Professionals from the Industry shall be required to take up course on **IPR/ Innovation Management/ Entrepreneurship.** These Courses do not form a part of the Course Work. These mandates may be exempted to scholars who possess such qualifications or are experts in these domains as established by the School Research Committee.

The Candidates must complete their course-work **within a period of 18 months** from the date of confirmation of Ph.D. Registration. Failure to complete the Course-work within the stipulated period shall entail automatic cancellation of registration. Under exceptional circumstances, the office of the Vice Chancellor **may grant an extension of 06 months**, on the recommendations of the SRC.

The Course work papers shall be evaluated for 100 marks **with 60% Formative and 40% Summative Assessment ratio.** The School Research Committee shall conduct the course work examination and submit the statement of marks along with the Grade sheet to the office of the Registrar (Evaluation) within a Week, for the announcement of the Results.

The Scholar has to obtain a **minimum Grade of C (50%)** in the course work to be eligible to continue in the programme.

The Absolute Grading system is indicated as given below,

Percentage of Marks	Grades	Grade Points
90 and Above	A+	10
80 – 89	A	9
70 – 79	B+	8
60 – 69	B	7
50 – 59	C	6
Below 50	D (to repeat)	NA

L. Scholarship:

The Ph.D. Scholars, who are not in receipt of any Scholarship or Fellowships may be considered for the award for Scholarship for the Doctoral program based on Criteria suggested by the School Research Committee and approved by the Research & Innovation Council. This is specially to recognize and encourage exceptional research, in tune with the University's vision of Knowledge creation and Leadership. The Scholarships, with a periodic review, shall be subject to the guidelines published by the University, from time to time.

M. Study Leave:

Full Time Scholars are permitted to avail study leave on following grounds:

Visit/ Internships at Institutions/ Industry: The PhD scholar is encouraged to participate in active research environments, during the PhD programme with a stay of 1-6 months at a Foreign/Indian research institutions relevant to the Research domain, as approved by the Research Advisory Council.

Research Expeditions: These form a part of experiential learning in research related domains, ranging **1 to 3 months**, such as internship in National/International Research Laboratories or Centres of Excellence. The approval for the Nature and duration of expedition shall be at the discretion of the SRC, on the recommendations of the Research Supervisor.

Exchange/ Sponsorship Programs: The Scholars may avail of various Scholarships/ Fellowships/ etc. offered by Institutions/ Governments/ Agencies/ others and on selection, may be permitted to proceed on Research expedition/ exchange programs for which the fellowship is awarded. Such period may be considered as part of the PhD program and delays, if any, due to such expeditions shall be condoned.

N. Research Committees and Functions:

The University shall set up three distinct bodies related exclusively for the conduct and promotion of Research. They include,

The Research & Innovation Council (RIC):

Headed by the Vice Chancellor, it shall include the Dean of Research along with distinguished researchers co-opted from the Industry and Academia as external members, for the formulation of Research Policy and Guidelines for the University. The Council shall strive to foster a Culture of Research among Students & Faculty along with Global collaboration.

The School Research Committee (SRC):

Established at the School level, the council is convened by the Dean of the School and shall have the Dean of Research along with Professors and Research Supervisors of the School. The SRC shall have the primary responsibility of offering and guiding the Doctoral Program in line with the stated vision of the University.

The Specific Responsibilities of the committee include,

- Design, Schedule and Offering the Doctoral research program
- Identification of Research Supervisors and Co-Supervisors with Domain expertise
- Selection, Conduct and Evaluation of the Course work and Eligibility for Scholars
- Identification of Domain experts for inclusion in the Panel of Experts.
- Fostering Research of Inter/ Multi / Transdisciplinary and Applied in Nature
- Aligning the Research Outcome with the Vision of the University
- Promoting Collaborative Research orientation with global institutions and scholars
- Seeking to establish a bench mark in Research and Innovation through IPRs.

The Doctoral Committee (DC):

The Research Supervisor of the scholar shall be the Convener of this Council. The Doctoral Committee shall be constituted upon the assignment of the Scholar to the supervisor and it shall comprise of the Dean of the School, the Research Supervisor, Co-supervisor and not more than 3 domain Experts/ Practitioners from the Industry/ Profession.

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

- Review the research proposal and finalize the Topic of research;
- Guide the Scholar to develop the Design and Methodology of research.
- Encouraging the Scholar to attain highest standards in Research outcome
- Suggest Commendation/Continuation/Cancellation of registration based on Review.
- Above all, To Ensure the highest possible Quality & Ethical standards in Research.

The **Doctoral Committee Meeting** shall be conducted as and when required, but not less than Twice in a year. The Nature and Frequency of the Meeting, assessment of Progress, review of Research and other related matters shall be at the discretion of the Committee.

O. Submission of Synopsis:

Candidate shall present a Synopsis as Pre-thesis submission in the School for feedback and comments, which may be suitably incorporated on the advice of the Supervisor.

The synopsis submission must accompany a suggested panel of examiners (for Evaluation and Viva) of the thesis, as suggested by the Research Supervisor on approval by the SRC.

P. The Submission of Thesis:

The Draft thesis shall be submitted within 3 months' period from the date of submission of the Synopsis. The candidate should submit Four copies of the thesis in person along with virus-free soft copy. The hard and soft copies must be exactly same. Thesis, in the prescribed format, must be signed by the Research Supervisor (Co-supervisor, if included in the Ph.D. registration) and forwarded by SRC. Any publication resulted from the Ph.D. work may also be submitted along with the thesis for onward transmission to the Examiners.

The thesis shall be submitted together with an originality report produced by a prescribed antiplagiarism software application. The supervisor (and co-supervisor, if any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission.

Note: Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.

The Academic Council shall evolve a mechanism using well-developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work. The similarity shall not exceed 10% excluding own publications, Literature review and the List of References.

Q. Board of Examiners:

A Panel of Six (6) External Examiners from India and abroad in the rank of Associate Professors and above, shall be provided at the time of Synopsis submission by the Research Supervisor, for adjudicating the Thesis. The Research Supervisor shall submit a different panel of examiners for each candidate, when two or more theses are submitted within a period of 6 months.

R. Adjudication:

The Registrar Evaluation shall take all the necessary measure for the adjudication of the thesis, conduct of the Viva voce, declaration of result and Issuance of certificate.

The Report of the Examiner shall include all aspects of the Research work including Suggestions, Recommendations and Unique propositions of the work.

If both the examiners have recommended for the award of Ph.D., the candidate shall be permitted to take the public viva-voce. If one examiner recommends against the award of Ph.D., the thesis will be referred to a Third examiner (third examiner) for adjudication. If two examiners recommend against the award of Ph.D. Degree, the thesis will be rejected.

S. The Public Viva Voce Exam:

The viva-voce examination is based, among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the two external examiners and shall be open to be attended by Members of the Doctoral Committee, faculty, research scholars and the invited audience.

A satisfactory performance in the viva-voce is compulsory. If a scholar fails in the viva-voce examination, the scholar shall be allowed to re-appear after 3 months from the date of first viva-voce before a panel constituted for this purpose. If the candidate fails again, the candidature for Ph.D. Degree will be rejected.

T. Innovation:

If the PhD research constitutes potential for innovation for the protection of Intellectual Property Rights (IPRs), the Scholar with the consent of the Supervisor, may request that the submitted dissertation be treated discreetly before the thesis is submitted for assessment, until the defence/viva-voce.

The IPR Cell or the competent body of the university designated for the purpose shall conduct the procedure for legal and commercial protection of research results, in accordance with the relevant Regulations. In this case, the public defence can be extended, by not later than a Year, from the day of commencement of the procedure of evaluation of the thesis, on producing the Certificate of Technology Transfer from the competent authority.

U. Consolidated Recommendation:

If the candidate passes the viva-voce examination, then the two-member (Examiner and Supervisor) board shall consolidate the recommendations for the award of Ph.D. Degree based on the reports of adjudication of the thesis. The consolidated recommendations are submitted to The Registrar (Evaluation), along with other documents, as may be required by the University, which shall be placed before the Academic Council for approval. The Ph.D. degree for will be awarded in Convocation either in person or in absentia.

V. Award of Research Degree:

The Ph.D. degree will be awarded in the specified Disciplinary or Inter/ Multi/ Trans Disciplinary or in an Unexplored domain of study by the University.

Issuing a Provisional certificate: Prior to the actual award of the degree, the University shall issue a provisional certificate to the effect that the Degree has been awarded in accordance with the provisions of the Chanakya University Regulations and UGC guidelines.

W. Publication of the Thesis:

The Thesis awarded by the University could be published as a Whole or in Parts, on the recommendation of the Examiners and with the prior permission of the University. A Copy of the thesis as a book shall be submitted to the University Library.

X. Depository with INFLIBNET/Institutional Electronic Archive:

Following the successful completion of the evaluation process the University shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET/Institutional Electronic Archive, for universal access and dissemination.

Y. Code of Ethics:

The PhD shall be governed by the Code of Ethics comprising of well laid procedure for handling allegations of misconduct or plagiarism in research. The University shall conduct regular training sessions on **'Academic & Research Ethics'** for the benefit of aal concerned.

Z. Cancellation or Revocation of Cancellation of the Registration:

The requests for the Cancellation or the Revocation of Cancellation of Ph.D. registration shall be forwarded solely by the School Research Committee whose final decision rests with the Academic Council.

****