



## **Ph.D. Programme, including its Rules, Regulations and Incentives:**

The Rules, Regulations and Incentives of the Ph.D. Programme of L.J. University.

# **L J University**

## **Rules and Regulations for Ph. D.**

### **1. Short title, Application and Commencement:**

- 1.1 These Regulations may be called L J University (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2016.
- 1.2 They shall apply to every constituent School of Study (henceforth called The School) of the University
- 1.3 They shall come into force from the date of their Rectification by the Academic Council of L J University.

### **2. Eligibility criteria for admission to Ph.D. Programme:**

Subject to the conditions stipulated in these Regulations, the following persons are eligible to seek admission to the Ph.D. programme:

- 2.1 Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the University Grant Commission, henceforth called UGC, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.2 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the UGC from time to time, or for those who had obtained their Master's degree prior to 19<sup>th</sup> September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

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2.3 The programme is also open to the internal faculty members of the L J University, and other Institutions set up by Lok Jagrut Kendra Trust, who are desirous of obtaining a doctoral degree. However, they also will have to fulfil all the conditions stipulated under these rules and regulations. Nevertheless, they will be required to pay the fees at a subsidized rate. The balance will be subsidized by the LJK Trust/their respective Departments.

### 3. Duration of the Programme:

- 3.1 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years.
- 3.2 Extension beyond the above limits will be subject to the recommendation of the respective Board of Studies and approved by the Academic Council of the University.
- 3.3 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years, in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

### 4. Procedure for admission:

- 4.1 All the applicants shall have to qualify an Entrance Test conducted by the University, for admission to the Ph.D. Those students who have qualified UGC-NET (including JRF)/UGC-CSIR NET (including SLET/ GATE/GPAT), teacher fellowship holders, shall be exempted from the Entrance Test for admission to the Ph.D. Programme.
- 4.1.1 Every year, the University shall decide, latest by in the month of December, on the number of seats available for admission in Ph.D. programmes in various Schools and Departments, depending on the availability of Research Supervisors and other academic infrastructure, including laboratory, library, and such other facilities;
- 4.1.2 The admissions to the Doctoral Programmes in the University will be open year-round. Students will be able to apply for the programme during any quarter of the year. The entrance test for every quarter will be held on first Sunday of the months of January, April, July, and October. The last date of submitting the application forms will be **15 days prior to the date of entrance test**. The University will notify the number of seats available for admission in each subject/discipline, criteria for admission, procedure for admission, examination centre(s) where entrance test(s) shall be conducted, and all other relevant information for the benefit of the candidates; each year, latest by December, in the University website: [www.ljku.edu.in](http://www.ljku.edu.in). The University will also advertise in at least two (2) national newspapers, of which at least one (1) shall be in the regional language (Gujarati), for admissions to the doctoral programmes; and,

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4.1.3 The University will adhere to the National/State-level reservation policy as applicable.

4.2 The admission shall be based on the criteria notified by the University, keeping in view the guidelines/norms in this regard issued by the UGC and other statutory bodies concerned, and considering the reservation policy of the Central/State Government from time to time.

4.3 The University shall admit candidate to Ph.D. Programmes following a two-stage process:

4.3.1 An applicant will be required to obtain at least 50 per cent marks in the admission test to be eligible for the admission. The syllabus of the Entrance Test shall consist of 50 % of domain/subject knowledge and 50% will be that of the research methodology. The Entrance Test shall be conducted at the L.J. University Campus. However, any change of Centre, if any, shall also to be notified on the website at least 15 days in advance; and

4.3.2 In addition, the applicants will have to face and clear an interview/viva-voce wherein the candidates will be required to present their proposed research work before the Board of Studies of the respective Schools.

4.3.3 The weightage of the written test and viva-voce will be in the ratio of 70:30.

4.4 The interview/*viva voce* shall also consider the following aspects, viz. whether:

4.4.1 the candidate possesses the competence for the proposed research;

4.4.2 the research work can be suitably undertaken in the University;

4.4.3 the proposed area of research can contribute to new/additional knowledge.

4.5 The candidates who have cleared M.Phil. Degree, shall be exempted from appearing in the entrance test, and deemed to be qualified for entrance test.

The University shall maintain the list of all the Ph.D. registered students on its website on year-wise basis. The list shall include the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

**5. Allocation of Research Supervisor:** Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

5.1 As stipulated by the UGC, any regular Professor of the University, with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Provided further that, the publications should be in the indexed journals listed in the Web of Science / SCOPUS / Hein Database / Indian Citation Index / ABDC / EBSCO (Art & Architecture database). However, in areas/disciplines where there is no or only a limited number of refereed journals, or a high-quality Journal that are not listed in the data-base, the University will relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing

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- 5.2 Only a full-time regular faculty member of the University shall be allowed to act as a supervisor. The external supervisors shall not be allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the recommendation of the respective Boards of Studies and approval of the Research Advisory Committee.
- 5.3 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.
- 5.4 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/University. Such co-supervisor should have a Ph.D. degree and research experience of at least 10 years.
- 5.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 5.6 In case of relocation of a Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the University/supervisor from any funding agency. The scholar will however give due credit to the parent guide and the University for the part of research already done.
6. **Course Work:** Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.
- 6.1 The candidates in the discipline of management will have to undergo a 32-credit pre-registration programme. However, candidates holding an MBA, or an equivalent qualification shall be exempted from the pre-registration programme.
- 6.2 The credit assigned to the Ph.D. course work shall be a of 16 credits, for all the disciplines, including management (over and above the 32-credit pre-registration course).
- 6.3 Candidates already holding M. Phil. Degree and already having completed the course work during the M.Phil., will be exempted from the Ph.D. course work.
- 6.4 The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level relevant courses for preparing the





students to meticulously undertake doctoral research work leading to Ph.D. degree.

- 6.5 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the Research Advisory Committee.
- 6.6 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee, as stipulated under sub-Clause 7.1 below, of the research scholar.
- 6.7 All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 6.8 Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the respective Board of Studies of the Schools, and the Department. The final grades shall be communicated to the University.
- 6.9 A Ph.D. scholar will be required to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

## **7. Research Advisory Committee and its functions:**

7.1 There shall be a Research Advisory Committee, for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

7.1.1 To review the research proposal and finalize the topic of research;

7.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.

7.1.3 To periodically review and assist in the progress of the research work of the research scholar.

7.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six-monthly progress reports shall be submitted by the Research Advisory Committee to the School with a copy to the research scholar.

In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.

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## **8. Evaluation and Assessment Methods, minimum standards/credits for award of the degree, etc.:**

- 8.1 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses 6.7 above, the Ph.D. scholar shall be required to undertake research work and produce a draft dissertation/thesis within a reasonable time, as stipulated by the School concerned based on these Regulations.
- 8.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee, which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.
- 8.3 Ph.D. scholars must publish at least one (1) research paper in a refereed journals (indexed in SCOPUS, Hein Database / Indian Citation Index / ABDC / EBSCO), and present two papers in conferences/seminars, before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 8.4 The Academic Council (or its equivalent body) of the Institution shall evolve a mechanism using well developed software and gadgets to detect plagiarism and other forms of academic dishonesty. While submitting for evaluation, the dissertation/thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism, and that the work has not been submitted for the award of any other degree/diploma of the same School where the work was carried out, or to any other Institution.
- 8.5 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners, who are not in employment of the University, of whom one examiner may be from outside the country. The *viva-voce* examination, 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 Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.
- 8.6 The public *viva-voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If the evaluation reports of both the external examiners are unsatisfactory and they have not recommended *viva-voce*, the dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree. However, of the report of only one of the two external examiners is unsatisfactory and he/she does not recommend *viva-voce*, the University shall send the dissertation/ thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the dissertation/ thesis shall be rejected, and the research scholar shall be declared ineligible for the award of the degree.





8.7 The University shall make all efforts to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the dissertation/thesis.

**9. Academic, administrative and infrastructure requirement to be fulfilled by the respective School of Studies for getting recognition for offering Ph.D. programmes:**

9.1 The Schools of the University offering post-graduate degree offer Ph.D. They are fully equipped with necessary infrastructure facilities, besides qualified research supervisors, and supporting administrative and research promotion facilities.

9.2 In certain cases, the Post-graduate Departments of the University may not have necessary expertise to guide a Ph. D. scholar. In such case, the university has collaboration with eligible Research laboratories of Government of India/State Government, that possess requisite expertise with at least two Ph.D. qualified teachers/scientists/other academic staff in the discipline concerned along with required infrastructure, supporting administrative and research promotion facilities as per these Regulations, stipulated under sub-clause 9.3. They have been recognized by the University as eligible to offer Ph. D. guidance and supervision.

9.3 The Schools recognized for offering Ph. D. have adequate facilities for research as mentioned below:

9.3.1 In case of science and technology disciplines, exclusive research laboratories with sophisticated equipment, with provision for adequate space per research scholar along with computer facilities and essential software, and uninterrupted power and water supply;

9.3.2 Earmarked library resources including latest books, Indian and International journals, e- journals, extended working hours for all disciplines, adequate space for research scholars in the Department/ library for reading, writing and storing study and research materials;

9.3.3 The School may also access the required facilities of the neighbouring Schools or Institutions, or of those Institutions/Colleges/R&D laboratories/Organizations which have the required facilities.

**10. Treatment of Ph.D. through Distance Mode/Part-time:**

10.1 L J University does not offer Ph.D. Programme through distance education mode.

10.2 Part-time Ph.D. will be allowed provided all the conditions mentioned in the Ph.D. Regulations are met.

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## **11. Award of Ph.D. degrees by foreign Universities:**

- 11.1 If the Ph.D. degree is awarded by a Foreign University, the University shall refer the issue to a Standing Committee constituted by it for the purpose of determining the equivalence of the degree awarded by the foreign University.

## **12. Depository with INFLIBNET:**

- 12.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the University shall submit an electronic copy of the Ph. D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all other Institutions/Colleges.
- 12.2 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 UGC Regulations, 2016.

## **13. Cancellation of Registration**

The Vice-Chancellor shall be competent to cancel the registration of a research scholar under the following circumstances:

- (i) On recommendation of Research Advisory committee due to unsatisfactory Research progress
- (ii) Violation of discipline of the University.
- (iii) Submission of false information at the time of registration.
- (iv) Voluntary withdrawal of admission.
- (v) Non-conformity with the regulations of the programme.
- (vi) In cases where Research Scholar is found to be involved in plagiarism as per Rules for Preventing Plagiarism of the University.
- (vii) On recommendation of Examination Reforms Committee due to unfair means in examination.

In the process of cancellation of registration, principle of natural justice be observed.

## **14. Conversion of Registration**

The Vice-Chancellor shall be empowered to permit the conversion of registration from Ph.D. (Full-Time) to Ph.D.) (Part-time) and vice-versa, subject to the following guidelines:

- (i) Date of initial registration will be the reference point for the completion date for all the purposes like completion of coursework, submission of thesis, etc.
- (ii) In the entire tenure of Ph.D. programme, conversion from Full-Time to Part-Time can be done only once as per the following conditions:
  - (a) The student should be employed in any educational Institution, R&D Center, Industry, wherein sufficient infrastructure is available to carry the research by the student. The student has to submit a 'No objection certificate' and an 'infrastructure certificate from the employer where the student is going to carry out the research. T





- (b) The conversion can be done at any point of time after registration.
- (c) The minimum duration for submission of ph. D. thesis shall be 3 years from the date of initial registration and maximum period should not exceed six years. The women candidates and persons with disability more than 40% disability may be allowed a relaxation of two years in the maximum duration, i.e. up to eight years.
- (d) Approval from the supervisor, and Director of the concerned school, for such conversion is mandatory.

#### 15. **Change of Supervisor:**

A student desirous to change his Supervisor shall apply to the Registrar through both the old and the proposed (new) supervisor, Head of Department, and Director of the School concerned. The decision on this issue will be taken by the Vice-Chancellor on the recommendation of the Director of the concerned School, provided that in the case of death of a Supervisor or long leave or prolonged sickness of a supervisor or the cases of similar nature, a candidate may apply to the Registrar for changing his supervisor. Such application shall be forwarded by the Registrar to the Vice-Chancellor through the Director of the School.

**OR**

On the application of the students / supervisor for the reasons other than the above, for change of supervisor the Vice-Chancellor may form a committee. After a thorough inquiry, and on the report of the Committee, the Vice-Chancellor will take appropriate final decision.

Normally no teacher or the recognized Ph.D. supervisor shall register Ph.D. student on completion of 64 years of age. However, in exceptional cases, on the recommendations of the Director of the concerned school the Vice-Chancellor may consider to allow such supervisor to register the students even after the age of 64 years.

Co-supervisor: If any co-supervisor recognized under regulations, is found to be involved in plagiarism, his supervisorship will be withdrawn, after following due procedures laid down under the rules of plagiarism of the University. The decision taken in this respect, will be informed to parent organization of the co-supervisor.

#### 16. **Fees and Fellowships**

Fees for the Ph.D. programme is stipulated to be Rs. 35,000 (Rs. Thirty-five only) per semester. However, the University treats research as an investment rather than cost. Therefore, it will extend various kinds of support and incentives to each of the Ph.D. scholars, to the tune of a maximum of Rs. 3.5 lakh (Rs. Three lakh fifty thousand), in the entire duration. For details, please contact, Director of the concerned School. Please see **ANNEXURE 'I'** attached.

#### 17. **Payment of Tuition & other fees**

The research scholar registered for the Ph. D. degree shall be required to pay the tuition fees and other fees as prescribed from time to time for all the terms from the date of registration to the date of submission of thesis.





## Financial Assistance to Ph.D. Scholars

Ph.D. Scholars will be given fellowship/financial assistance for academic activities during the tenure of their doctoral work (only up to the first four years). The stipulated fee for the Ph.D. Programme is Rs. 2,10,000/-. The total support against the fees will be available to a maximum of Rs. 3,50,000/- (Rs. Three lakh fifty thousand only), as per the following breakup.

- (1) The Ph.D. scholars can attend one conference in the first year, even without writing and presenting a paper in the Conference, subject to the recommendation of the supervisor and approval of the Director of the School. The Scholars can attend one more conference during the first year, if their paper is accepted for presentation in the conference. From the second year onwards, they can attend one conference each year, if their research paper is accepted at the conference, for presentation. The students will be reimbursed 3-tier A.C. railway fare for travelling between Ahmedabad to place of conference, besides registration fees (if any) of the conference, and Rs.100 per day toward out of pocket expense for conference days, as well as travelling days. The annual expenditure admissible under this account will be a maximum Rs.10000/- per conference. It will be available up to 4 years from the date of registration

(To the maximum of Rs.50,000/-).

- (2) Every Ph.D. Scholar will be entitled to attend one reputed international conference during the entire period of doctoral research, provided research paper of the Scholar is selected for presentation in conference. The application to attend international conference must be endorsed and recommended by her/his supervisor, and forwarded by the Director of the School to the Vice-Chancellor for final approval.

The university will bear the cost of conference, including registration fee and travel cost. Over and above, the university will also give a token amount of US\$ 50 (fifty) per day for the number of days of conference plus one day before and one day after the Conference.

(To the maximum of Rs. 1,25,000/-).

- (3) The Ph.D. scholars will be given an award of Rs. 5000/- per paper, published in a reputed and refereed Journal. There is no limit of publications for the award.

(Estimated amount Rs. 30,000/-)

- (4) The Ph.D. Scholar will be entitled to buy books worth Rs 5,000/- each year, for the first four years. The titles of the books will need to be approved by the Supervisor. The books so purchased must be relevant to his/her doctoral work. The scholar will place the requisition to the Librarian of the School/University, who will procure the books. The books could be retained by the researcher. However, we expect that the Scholar donates the books to departmental library.

(To the maximum of Rs 20,000/-).

- (5) A student can subscribe 2 (two) valuable journals every year for 4 years - Subject to recommendation of supervisor. Maximum amount of subscription admissible will be rupees 3500/-(Three thousand) per annum.

(To the maximum of Rs. 12,500/-).

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- (6) The Ph.D. Scholars will be reimbursed up to Rs. 1 lakh (one lakh) for entire period of her/his research work leading to the degree of Ph.D., to meet the expenditure of survey work, data analysis, cost of raw materials, rental of the equipment, photocopy, printing of schedules, etc., depending on the discipline. All the bills and vouchers must be forwarded through supervisor, for reimbursement.
- (7) Over and above, the University will put Rs. 12,500/- (Rs. Twelve thousand & five hundred) at the disposal of the supervisor and the scholar to meet unforeseen exigencies.

**Total Assistance Admissible**

Sr. No.	Fellowship Heads	Amount (Rs.)
1	Conference with in India	50,000
2	International Conference	1,25,000
3	Reward for paper for publication	30,000
4	Books	20,000
5	Journal Subscription	12,500
6	Research related Expenses	1,00,000
7	Need based allocation	12,500
	<b>Total</b>	<b>3,50,000</b>

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## **RESEARCH AND INNOVATION POLICY OF L J UNIVERSITY**

### **Prologue**

Generation of knowledge is the cornerstone of any centre of excellence in academics. Research creates the capacity to ask the right kind of questions and seek answers. It creates the capacity to think beyond the set boundaries and create something new, innovative. It calls for a culture of research and innovation, wherein every entity in the institution, from the faculty to its students, is an integral part of this culture. It needs a conducive eco-system to foster knowledge generation and meet the research community's expectations, engaged directly or indirectly, in generating ideas, extending the frontiers of knowledge, and fostering innovations. It is possible only when 'research and innovation' become a culture in the institution.

No university or academic institution can work in isolation. It is imperative to keep open the organisation's door and windows to let the fresh air of thoughts flush the internal environment with the fragrance of new ideas. The University must welcome and encourage networking and collaboration within and outside to exchange and refine ideas and learn from others as much as share its wisdom. Therefore, the research policy of L.J. University aims to create an eco-system wherein new and innovative ideas germinate and grow; and, creativity leading to innovations is treated paramount. The rules and procedures of this policy are to facilitate researchers and innovators in accomplishing their endeavours.

### **Objectives of the Policy**

This policy offers a broad framework to create and strengthen research and innovation culture at the University. The objectives of this policy are to:

- i) encourage the faculty and students to involve themselves actively in creating new knowledge through theoretical and applied research, collaborative research including external collaborations and networks;
- ii) motivate young minds in breaking the myth of 'impossible' by fostering innovations;
- iii) focus quality and promote ethical values in research;
- iv) ensure free flow and integration of teaching and research;
- v) encourage innovation and creation of intellectual capital;
- vi) encourage patenting and commercialisation of innovations; and,
- vii) facilitate dissemination of knowledge, thus generated in the University, through publications, conferences, workshops, seminars, training programmes, lectures, faculty exchange, etc.

### **Broad Contours of Promoting Research**

The Policy offers full autonomy to the researchers in working on any specific theme or developing an idea in the domain of their expertise and/or interest. The researchers will have the freedom to collaborate, internally or externally, with academicians who may be nurturing similar interest. They will also have the freedom and will be encouraged, to approach any external agency for seeking funding support for their research. The scholars will be encouraged to share their findings widely through publication, lectures, seminars, etc. Any constructive criticism of such work will be welcomed, as it will provide an opportunity to improve. However, the Policy mandates and cautions the researchers to scrupulously adhere

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to the established ethical practices and norms encompassing human rights, health, safety measures, cruelty to animals, etc.

The University shall facilitate research by allocating necessary infrastructure, including access to on-line journals and equipment. The University will also be providing seed-fund for piloting the studies, liberally. However, given the resource constraints, while it may not be possible to fund all the research proposals, it will endeavour to support as many research proposals as possible. However, it expects that the researchers will explore external funding to carry out large projects. The University will make adequate provision for research-related travel, visits to other libraries or laboratories. It will also prepare detailed guidelines to support research endeavours. Support will also be made available to researchers for developing research proposals, and patent filing, etc.

### **Identification of Thrust Areas**

While the researchers will have complete freedom and autonomy to decide their research priority and themes, the University will prioritise contemporary themes in nature and are socially relevant. To meet this desired goal, the University will encourage the Schools to prepare a basket of ideas that have a priority. Young scholars will be encouraged to pursue some of the ideas from this basket. However, this will provide a broad idea of priority, but in no way constrain any researcher to identify his/her idea to work. In case, the University wants to explore some new or contemporary issue, it will announce such areas/themes/topics twice a year, in January and July, and will encourage scholars by offering incentives. Such explorations will be restricted to top three project proposals, submitted by the faculty/students. A separate scheme will be created for this purpose.

### **Research at U.G. and P.G. Level**

The New Education Policy identifies two types of universities viz. teaching driven, (ii) research-driven, and incentivises them differently. L.J. University is envisaged as a research-driven teaching university. Every attempt will be made to make education more creative and meaningful. Research carried out by the faculty, will be brought to the classrooms to enrich the teaching content. In this way, the students will not only learn about the current theory and practice in their domain; they will also get exposed to research. The University proposed taking such learning forward and encouraging students to get involved in their research activities.

To promote research interests among students, L J University will introduce the research component in its curriculum. An attempt will be made to introduce at least one course on research methodology in most undergraduate and postgraduate programmes, in the final year of their courses. The students will be encouraged to undertake Minor Research Projects, under the guidance of their teachers. They will also be encouraged to get involved in the projects being carried out by the faculty. As per the New Education Policy, the students who opt for 4-year graduation programme, will, in any case, have to take up a major research project, in the field of their interest, under the guidance of the faculty and submit the dissertation for evaluation. The dissertation's evaluation will be followed by the viva voce, subject to clearance of both the dissertation and viva voce; they will be eligible for the Degree certificate. The research projects will also be an integral part of the post-graduation programmes at the University.

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## **Ph.D. Programme**

The Doctoral Programmes will be given a significant thrust in the University. All the Schools constituting the University will be required to mount doctoral and post-doctoral programmes. The programme will be open to full-time scholars as well as part-time scholars who might be working. It will also be open to professional degree holders such as Chartered Accountants, Company Secretaries, etc., subject to the equivalence of their qualifications with a Master's Degree. The University will announce the recruitment of doctoral students, every year in December. Post-graduation in the subject for which one is applying, with a minimum of 55 per cent marks at the last degree will be mandatory, except in the case of SC/ST and SEBC, for whom a relaxation of five per cent marks will be made admissible, as per the Rules of the University Grants Commission. The applicants will have to clear an entrance test comprising of a written test and viva voce. All the candidates who clear the entrance examination will be inducted in the Doctoral programme. The programme's duration is envisaged to be 3-4 years, with a provision of conditional extension of the period up to six years, after which the registration of the student shall be cancelled.

The University may not have expertise in all the areas of research interest of the doctoral students. To meet such exigencies, the University proposes to collaborate with reputed institutions like Institutions of National Importance and centres of excellence in their respective field, such as Physical Research Laboratory (PRL), Indian Space Research Organization (ISRO), Indian Institute of Plasma Research (IPR), etc. in the public sector; and, a few select R&D Centers of reputed industries such as Zydus Cedilla, Torrent Research Center, Intas Pharmaceuticals, etc., in the private sector, and will recognise such organisations as research centres for research work leading to the degree of Ph. D.

The University shall earmark a budget line for doctoral fellowships and creating necessary research infrastructure in different Schools.

The University will encourage its faculty and research scholars to attend national and international workshops/seminars/conferences, for which a limited fund will be made available by the University. The University will encourage the researcher to explore external funding/grants for attending especially international conferences and workshops.

It will be prudent to mention that facilitating a Ph.D. for L.J. University will not be a surplus generation activity. It will be treated as an investment in capacity building of the researchers. It will give back to the scholars more than what it will charge as fees.

## **Collaborative Research Projects**

The University realises the gap in the academia-industry interaction. It also realises that this collaboration is a backbone of academic excellence. The University has already set up an 'Industry-Academia Council' under the Vice-Chancellor's chairmanship. The main agenda of the Council is to:

- (i) create a 'Vision Industry 4.0' for L.J. University, and evolve a strategy to implement the same;
- (ii) strengthen Industry-Academia Linkage through research and consultations;
- (iii) undertake advocacy with the Central/State Government departments to strengthen policy framework for Industry 4.0, and beyond;
- (iv) design relevant skill development programmes for making available well-accomplish and industry-ready human resources to industry; and





(v) undertake any activity in pursuance of the above objectives.

With these objectives in mind, the University has planned the following activities:

**(i) Industry-Sponsored Research Project:**

The University proposes a two-prong strategy to foster and strengthen this interaction, viz. (i) identifying the problems -technical and managerial - in the industry and attempting to solve those problems. In such cases, the industry could be charged a subsidised consultancy rate; (ii) industry may identify a problem and approaches the University for a Solution. In this case, the industry will be expected to meet the full cost of the intervention. Sometimes, the intervention may lead to innovations and require patenting. In such a case, the patent will be held by the industry, the researcher and the University, in equal proportion. In a few cases, the project may call for an inter-disciplinary approach. In such cases, experts from related disciplines will be drawn to offer support to the industry. Creating such inter-disciplinary teams could be difficult for the industry, whereas it could be done easily by a University. It will be a win-win situation for all. The industry will get a solution to the problem, a researcher will acquire learning, and the University will get branding as a centre of excellence.

**(ii) Collaborative Research (Domestic and International)**

In present days, the generation of knowledge is widespread. Various universities and institutions are working on the same or similar problems. It is likely to pay rich dividends if such pieces scattered all around could be brought at one platform. The output could be faster and much cost-effective and more efficient if done collaboratively, drawing upon the strengths of various institutions engaged in finding a solution to the same or similar problem. Thus, 'collaboration' is the name of the game, collaboration at local, regional, national and international.

L J University is negotiating and signing MoUs with reputed institutions across the globe (initially focusing France, Germany, UK, USA and South Africa), besides entering into a collaboration with centres on excellence in the country for conducting joint research in the areas of mutual interest.

**Capacity Building for Research and Publication in the University**

So far, most of our universities and colleges of higher learning have been focusing on teaching. Research has been an area that was less explored and relatively lesser, attended by the faculty. The New Education Policy, recently announced by Government of India, stipulates a binary of teaching-intensive universities and research-intensive universities. We envisage L J University to emerge as a research-driven teaching university. However, it will necessitate a reorientation of the faculty, as many have little research orientation. Even those who wish to engage in research find difficulty proceeding ahead due to their limited research skills. They may fall short on conceiving and writing a good research proposal, to begin with. Therefore, the University proposes to conduct a series of programmes on various facets of research for the faculty. A scheme for promoting research is being evolved, presently.

At present, very few faculty members can publish in reputed journals. Following the axiom of 'publish or perish', the University will lay heavy focus on publication. The University is evolving an incentive structure to encourage its faculty members to publish in reputed journals. Once research picks up, it is expected that increasing a higher number of faculty members will be publishing their research outputs. Each school in the University shall prepare a list of reputed





journals in their domain. The incentives will be offered in a graded manner, depending upon the reputation of the Journal.

It is also planned to begin with a working paper series in each of the schools, with an ultimate objective of bringing a peer-reviewed journal of high repute by the school, say in the next 5-7 years.

The schools shall also encourage the schools to organise research seminars, workshops and conferences to give a sound push to research endeavours. **(Please see Annexure I)**

### **Promoting Innovations in the University**

Several students have very innovative ideas while undergoing their undergraduate studies. However, the present education system seldom allows them to develop their ideas, get patented and commercialise. Students have many ideas on which they want to The L J Group of Institutions have been supporting startups for quite some time. They also organise a well-known event "L J Innovation Village" in which about 100 innovators across the country participate along with their innovation prototypes. This platform also offers an opportunity to pitch before the investors for raising funds. It will also encourage the students to file and publish their patents. University will extend funding support and meet the cost of patenting the product/process of the students.

All this, however, starts from a nascent idea that the students might have. Therefore, it is imperative to facilitate the process of converting a raw idea into a viable and commercialised product. The University will encourage and foster such ideas and take them forward through its incubation programme. However, before joining incubators, the students will be encouraged to use idea labs created in each School of the University and reach the stage of the proof of concept. The University is evolving its incubation policy which will provide detailed guidelines for potential incubates.

### **Patenting and safeguarding Intellectual Property Rights**

The University envisages strengthening research that leads to patents. The University will encourage its faculty and researchers to come up with patentable research. The University will be happy to meet the costs involved in patenting the innovations, especially from its Schools of Engineering, Pharmacy, Biotechnology, architecture, and Sciences. The University will also be willing to extend this facility to its incubatees as well, on a selective basis, if need be. The University has been facilitating awareness about intellectual property rights among faculty, researchers, and scholars to know patenting requirements, including documentation required for the same.

While the University will bear the costs involved in filing a patent, it will be expected that the researcher will share the earnings with the University once it is commercialised. Guidelines will be developed to this effect.

### **Establishment of Research Chairs**

The University also envisages the creation of Research Chairs in various disciplines. It will appoint Professors Emeritus and Chair Professors to occupy such prestigious positions. A Committee, consisting of reputed and well-known researchers will select such academicians from senior scientists or professors. They will be expected to research on cutting edge technology or some contemporary issue. Besides conducting research, they will also be

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expected to deliver at least one public lecture each year, besides mentoring the faculty and teaching at least one courses every year.

### **Establishment of Research Administration Committee**

To promote, monitor and incentivise research, the University shall set up a Research Administration Committee, to be chaired by the Vice-Chancellor. It will also have the Deans/heads of the Schools as its Members. Registrar will act as the Member-Secretary of the Committee. The Committee will invite research proposals from the faculty twice a year. It will evaluate the proposals and decide funding support for successful proposals, monitor the progress, every quarter, and assess the outcome/output of the research. It will also coordinate the patenting of innovations and dissemination of the research findings.

The Committee will also encourage organising seminars, workshops and conferences by various schools, and also encourage publication of the volume based on the papers submitted by various researchers.

The Committee will meet every quarter to take the activities forward.

### **Research Misconduct**

The University has a strict Ethics Policy. Any violation of the L J University Ethics Policy will be treated seriously. The areas covered under this domain include any misconduct such as falsification or plagiarism in proposing, performing or reviewing research or reporting research results, and other violations of the University such as sexual harassment. Severe disciplinary action will be taken against the alleged person if found guilty after a fair inquiry.

### **Review of the Policy**

The policy will be reviewed after three years.

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## **SCHEME FOR PROMOTING RESEARCH AMONG THE FACULTY MEMBERS OF THE L J UNIVERSITY**

L J University's vision is to emerge as a front-ranking, research-led teaching university in the country. This is possible only when the university faculty members generate a significant output of original and cutting-edge research. The University would like to follow the axiom of 'Publish or Perish'. Therefore, the University endeavours to promote and strengthen quality research among its faculty members. The faculty will be encouraged to publish his/her research outcomes as books published by reputed publishers and research papers published in top-ranked research journals. Besides publication, they will also be encouraged and supported to present papers in seminars/conferences of repute, within and outside the country, organise seminars and conferences, hold colloquiums and special lectures, enhance quality research and create a culture of research in the University.

However, the University is aware that research needs resources, human and fiscal. The University would like to facilitate the faculty members to research by creating time and resources. To operationalise the vision, this scheme has been evolved so that the faculty University starts generating a wealth of knowledge. This will earn national and international recognition for the concerned faculty and bring laurels reputation for the University. This document, henceforth known as "The Scheme for Promoting Research in the L J University". This scheme is created specifically to promote research among the faculty of the University. The scheme will facilitate research by offering incentives of various kinds viz.:

1. Funding Research Proposals of the faculty
2. Financial Incentive for Publications
3. Awards, prizes and recognition
4. Support for attending national/regional workshops, seminars and conferences
5. Support for attending international seminars and conferences
6. Incentive in terms of more weightage for the career advancement

### **1. Funding Research Proposals:**

The faculty members are encouraged to submit their research proposals to their respective Heads of the Department. The theme of the proposal should be contemporary and should extend the frontiers of knowledge. The format for submission of the proposal is attached as Annexure-I. Once submitted, the proposal will be sent to two external experts for referral and will be sanctioned only if the referees' feedback is positive. However, the concerned faculty may resubmit the proposal after integrating the external referees' suggestions/concerns. Rs.1,00,000 will be made available to the faculty for conducting research. Based on the research, the faculty members are expected to explore external funding for a larger study that could also be an extension of their study.

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## 2. Financial Incentive for Publication

To encourage publication by the faculty members, the University will give cash awards to the faculty members who publish their papers in reputed journals. The amount of the cash reward will vary depending upon the reputation of the journal; the paper has been published in, as follows:

- (i) Grade 'A' Journals in science and engineering streams such as Nature, Science, and the like (Journals with more than 4.0 SJR or more than 280 H Index or more than 6.0 Impact factor) Rs. 100,000/- per paper
- (ii) Grade 'A' Journals in social sciences and management like the Academy of Management Annals, Academy of Management Journal, Harvard Business Review, and the like (Journals with more than 3.0 SJR or more than 150 H Index or more than 5.0 Impact factor) Rs. 100,000/- per paper
- (iii) Grade 'B' Journals in the science and engineering streams like Lancet, Journal of American Chemical Society, Nature Microbiology, Microbiology and Molecular Biology Reviews, Nature Methods, Nature Biotechnology and journals of similar standard (Journals with more than 3.0 SJR or more than 150 H Index or more than 5.0 Impact factor): Rs. 50,000/-
- (iv) Grade 'B' Journals in social; sciences and management with more than 2.0 SJR or over 100 H Index or more than 4.0 Impact factor.: Rs. 50,000/-
- (v) Grade 'C' Journals with more than 1.0 SJR or over 75 H Index or over 2.0 Impact factor: Rs. 25,000
- (vi) Grade 'D' Journals listed in Web of Science or ABDC or Scopus, etc. Rs. 11,000/-
- (vii) Grade 'E' Journals listed in the University Grants Commission Care List Group II: Rs. 5,000/-
- (viii) Grade 'E' Journals listed in IGC Care List – I: Rs. 2,100

If more than one person writes the paper, the cash reward will be divided equally. However, papers written jointly with a Ph. D. Scholar will not qualify for this reward by his/her research supervisor.

*The list of such journals by each discipline will be made available to the researchers/authors.*

## 3. Awards, Prizes and Recognition

- (i) A faculty who published more than 5 papers in a year in, at least Grade 'C' Journals will be felicitated publicly in the University in a specially organised function and given a certificate of merit, and Rs. 11,000/- as a cash reward. A person who publishes at least 3 papers in Category 'C' Journals will be given a Merit certificate and a cash award of Rs. 5,000/-.
- (ii) Similarly, if a faculty publishes a scholarly book (not a textbook), (s)he will be felicitated publicly and given a cash reward of Rs. 11,000/-, subject to the condition that the book should be published by a reputed publisher like sage, Springer, Oxford University Press, Tata McGraw, Elsevier, John Wiley & Sons,

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Taylor & Francis, Sage Publications, Blackwell Publishers, Cambridge University Press, etc.

- (iii) For Best Paper Award Published in an international/national journal: A matching amount given by the journal.
- (iv) For Best Oral Presentation award at National/International conferences: Matching amount as given by the organisers.
- (v) For Best Poster Presentation award at National/International conferences: Matching amount as given by the organisers.
- (vi) For awards like Shanti Swaroop Bhatnagar award, Young Scientist Award, Scientist of the year award: Rs. 25000/-
- (vii) Best teacher of the year award, Lifetime achievement award by national bodies/State and Union governments: Rs. 10,000/-
- (viii) Research grants higher than Rs. 15,00,000/- obtained from Government funding agencies: Rs. 15,000/-
- (ix) For International Patent and its conversion into deliverables/marketable product: Rs. 20,000.
- (x) For National Patent and its conversion into deliverables/marketable product: Rs. 10,000
- (xi) For all other Patents: Rs. 5000/-

#### **4. Support for Attending National/Regional Workshops, Seminars and Conferences**

The faculty can attend one conference/seminar/workshop of academic standing and repute, once in two years if her/his paper is accepted for presentation in the conference/seminar/workshop. The faculty will be reimbursed 2-tier A.C. railway fare for travelling between Ahmedabad and the conference place, besides registration fees (if any) of the conference, and Rs.250 per day toward out of pocket expense for conference/seminar/workshop days, as well as travelling days. However, if more than one person writes a paper, only the principal author will be entitled to this facility. The University will notify the International Conferences that will be eligible for faculty members to support.

#### **5. Support for Attending International Seminars and Conferences**

The faculty can attend one International conference/seminar/workshop of academic standing and international repute, once in five (5) years, provided that her/his paper is accepted for presentation in the conference/seminar/workshop. The faculty will be reimbursed economy airfare from Ahmedabad to place of conference, besides registration fees (if any) of the conference, and US\$ 50 per day toward out of pocket expense for conference/seminar/workshop days, plus one day before and one day after the event.

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However, if more than one person writes a paper, only the principal author will be entitled to this facility. The University will notify the International Conferences that will be eligible for faculty members to support.

#### **6. Incentive in terms of Higher Weightage in the Career Advancement**

All the above achievements will be converted into points and will have a weightage of 25 per cent in the advancement of their career.

*Note: A faculty who avails such benefit under any other university scheme will not be entitled to avail benefit of these schemes. For example, a university faculty registered for the Doctoral Programme will be entitled to either of the schemes but not for both.*

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