

Doctorate of Philosophy (PhD)
Regulations
School of Education
(Proposed)

1. Preliminary

The Doctorate of Philosophy (PhD) under the School of Education Program Regulations (herein after called the **PhD in Education Regulations**) has been prepared by the School of Education Research Committee in accordance with the provision of Clause 4.3 of Kathmandu University Research Related Rules 2062 (hereinafter called the **Rules**) and will come into force from the date of receiving approval from the University Academic Council. The PhD Program of the School of Education (hereinafter called the **PhD Program**) shall be regulated by the following objectives, guidelines and rules:

2. Objectives of the Program

PhD in Education is an advanced research degree program that offers the PhD candidates (hereinafter called the **candidates**) with substantial grounding in high quality research and analytical skills in Education disciplines while preparing for higher academic and analytical professions in Education and policy making. Candidates pursuing this program will demonstrate:

- a. an ability to identify research issue(s) and to formulate viable research questions;
- b. a demonstrated capacity to design, conduct and report independent and original research on a distinct research program;
- c. an ability to define, derive and apply appropriate quality standards for their research;
- d. a sound understanding of the major areas, focus and contours of local, regional and international research in their respective research area;
- e. a capacity for critical assessment of relevant scholarly literature in their field of study;
- f. well-developed flexible problem-solving abilities (skills, knowledge and attitudes) appropriate to the area of study;
- g. the ability to analyse and interpret research data as per the ethos of paradigm(s), methodologies and methods employed in their research;
- h. the capacity to share effectively the results of research and scholarship by oral and written communication;
- i. a sound understanding of scholarly conventions in their fields of study;
- j. a sound understanding of the need to respect for truth and intellectual integrity, and the ethics of research and scholarship;
- k. a capacity to collaborate with other researchers and organizations;

1. an ability to manage information effectively, including the application of computer systems, software and online databases where appropriate to the student's field of study.

3. **Research Committee**

- a. The School of Education, in accordance with Clause 2.1 of the Rules, shall conduct its PhD Program through the Research Committee constituted under the chair of Dean and consisting of members as specified in the Rules.
- b. The responsibilities and duties of the Research Committee shall be as specified in the Rules.
- c. The Research Committee may frame, if necessary, working rules, guidelines, and standards in compliance with the Rules and the PhD in Education Regulations.

4. **Program Structure and Contents**

The PhD Program shall be conducted in accordance with the PhD in specialized curricula (e.g., Mathematics Education, English Language Education, Education Leadership etc) as approved - and revised from time to time - by the University Academic Council. The outline of currently approved curricula is given in *Annex I*.

5. **Entrance Requirements and Procedures**

- a. The PhD Program is open to Nepali and non-Nepali nationals with:
 - A research-oriented master's degree MPhil or **MS by Research or a Master degree** (in related discipline) from the universities recognized by Kathmandu University;
 - Minimum CGPA of 3 on a scale of 4.0 or higher second division in aggregate;
 - At least one individual research article published (or accepted for publication) in refereed national/ regional/ international journal or a research paper presented in a recognized regional/ international conference.
- b. Eligible candidates for the PhD Program shall apply to the School after publication of admission notice by completing the application blank that is available upon payment of the application fee while complying with the admission requirements of the School. **The application blank is given in Annex II.**
- c. The Research Committee shall conduct the appropriate admission tests, research presentation (and or viva voce examination) and personal interview for the eligible candidates for admission.
- d. Selection of the candidates shall be based on:
 - Evaluation of published or presented research article;

- Presentation and viva voce examination on research article;
- Scores on the Admission Test;
- Personal interview;
- Merit of academic attainments.

Special consideration would be given at the time of personal interview, article evaluation and presentation on:

- Articulation and depth of interest in research and specialization in education; and
- Demonstrated potential in pursuing research work and specialization in education.

6. Enrolment and Registration

- Enrolment for the PhD Program shall be usually, but not compulsorily, on annual basis in the Spring Semester (February) or the Fall Semester (August)
- The candidates selected by the Research Committee shall register for PhD Program of the School as full or part time research students by fulfilling all other requirements of the University for Registration.
- The candidates will be registered as a temporary candidate for the first six months which shall be converted into permanent registration after the successful completion the course work and defense of the proposal.
- The timing for the temporary registration can be extended until one year.

7. Conditions for Study Completion

- The minimum period of candidature for full time PhD candidates shall be three years. The Research Committee may extend the period for completion of the thesis to maximum two years.
- The PhD program is a full time program, so a candidate is required to maintain minimum regular work hours at the University or other designated place for the research purpose per week. If and when required by KUSOED and if and when such assignment is available, the candidate will assume any teaching and/or research responsibility (as teaching/research assistant) as assigned by the Dean for a remuneration as determined by Kathmandu University. In case the candidate receives financial support arranged by the University, he or she will be required to assume teaching or research responsibility. The volume of the work will be determined by the Dean in consonance with the normal workload regulations for the full time faculty and the amount of the support he or she receives.

- c. Total leave of absence granted during the period of candidature shall not exceed the full time equivalent of one year.
- d. A candidate who has not completed the PhD program requirements within the prescribed maximum period of five years, but has completed all course works with a minimum of 3.0 CGPA and has made sufficient progress in his/ her thesis work may apply for term extension. Upon recommendation of the Chair of Thesis Advisory Committee, the Research Committee may grant an extension for a maximum of one year period during which he/ she must complete all the program requirements.
- e. Candidates shall take all required taught courses, as prescribed in the curriculum and qualifying examinations before undertaking the required research work, including preparation and presentation of the research proposal and writing of the research thesis.
- f. Candidates shall maintain their Cumulative Grade Point Average (CGPA) at minimum 3.0 in taught courses; pass the qualifying exams for them to be allowed to start working on research work leading to the writing of thesis as a compulsory requirement for the PhD degree.
- g. Candidates shall take qualifying exam comprising of two course streams, and secure B grade to be a PhD scholar and start Research Thesis. The candidates failing to secure pass grade in the exam shall re-take the exam and failure to secure pass grade in second attempt will subject a candidate to dismissal from the program.
- h. The thesis proposal will not be approved until the candidate completes all course works with minimum CGPA of 3.0 and pass the qualifying exam with required “B” grade.
- i. Grade below ‘B’ shall not be allowed for the requisite courses in the PhD program.
- j. The Research Committee shall terminate candidature when the candidate fails to:
 - Complete all courses, exam and research thesis requirements within five years;
 - Maintain his/her each PhD requisite course grade at the minimum required level of “B”;
 - Maintain a rate of progress on course work and/or research work to the satisfaction of the Research Committee which it determines in consultation with the PhD Program Coordinator (hereinafter called the Coordinator) and the Thesis Advisory Committee;
 - Comply with any reasonable instruction of the Coordinator, the Advisory Committee, and the Dean of the School concerning PhD Program; and
 - Comply with the requirements of the PhD in Education Regulations.

- k. The candidate is expected to submit at least one research paper based on his/her PhD research study to a refereed journal for publication before being considered for award of PhD degree.

8. Evaluation of PhD Candidate

- a. Evaluation scheme of the candidates shall be as given in the Outline of PhD in specialized curriculum (e.g., Mathematics Education, English Language Education, Educational Leadership etc) as approved by the Academic Council.
- b. Examination of the research thesis shall be as given in Clause 14 below.

9. Thesis Advisory Committee

- a. Upon taking the required course works and qualifying examinations, the candidate shall within the prescribed time propose in writing to the Research Committee a Thesis Advisory Committee (hereinafter called the Advisory Committee) of maximum three academics (where one member may be from industry or government sector), including one Chair, for supervision and guidance of the research work along with an outline of research proposal. He/she must have consulted and secured written consent from the proposed chair and other members to serve on the Advisory Committee before proposing their names. It is expected that there will be a broad convergence of research interest of both the candidate and the proposed chair and members of the Advisory Committee.
- b. The Research Committee shall publish and update from time to time the roster of research faculty and experts available within the University and outside, to guide the research work. The qualification and experience of the faculty and experts for thesis advisory role shall be as specified from time to time by the Research Committee. The Research Committee shall normally include in the roster faculty and experts at minimum Associate Professor or equivalent level with substantial academic research experience. An Assistant Professor may also be considered based upon the academic repute and contribution in the area of expertise. The candidate shall select members of his/her Advisory Committee from the roster of faculty and experts.
- c. The Advisory Committee shall perform, among others, the following duties:
 - Guide and supervise the candidate in his/her research work by providing necessary academic supports, resources, and linkages;
 - Comment and give feedback on the drafts of the research thesis and advise to improve it;
 - Ensure the quality of the research process and output;

- Instruct the candidate to carry out necessary actions for completing the research work with high quality and in time;
 - Maintain records of the work progress and attendance of the candidate and submit a brief report to the Research Committee every quarterly;
 - Advise and recommend to the Research Committee on the research work of the candidate, including the names of the external examiners for thesis examination; and
 - Carry out other works as assigned from time to time.
- d. Upon receiving the outline research proposal and the names for the Advisory Committee, the Research Committee shall conduct viability of the proposed research and appoint the Advisory Committee. If deemed necessary, the Research Committee may require the candidate to provide further information about his/her research interest and capability before appointing the Advisory Committee.

10. Research Proposal

- a. The candidate shall prepare a research proposal under the guidance of the Advisory Committee and submit it for defense to the Research Committee with recommendation from the Advisory Committee within a time prescribed by the Coordinator
- b. The candidate shall give a proposal seminar to the Research Committee, in which faculty of the School, other candidates, and interested students from other graduate programs of the School may also be invited.
- c. The Research Committee, if satisfied with the proposal, shall approve it in writing after which the candidate shall formally start his/her research work. The candidate, however, is expected to refine, revise, and change the proposal based on the feedback, if any, at the defense seminar before getting formal approval.

11. Supervision of Research Work

- a. The candidate shall undertake research under the supervision and guidance of the Advisory Committee.
- b. The Chair of the Advisory Committee (hereinafter called the Chair) shall serve as the principal advisor for the candidate. The other members shall be resource persons to assist the candidate with specialized inputs and guidance.
- c. The principal advisor shall be responsible for ensuring that the candidate is making satisfactory progress in the research work and that the thesis is adequate for a successful defense before the defense is scheduled.

- d. The candidate shall regularly report to his/her Advisory Committee as instructed by the Chair.
- e. The candidate shall report to the Advisory Committee in writing his/her progress on the thesis in every month.
- f. The candidate shall report quarterly to the Research Committee in writing his/ her progress on the thesis .
- g. The Research Committee may allow only in exceptional circumstances minor alterations on the approved research topic of the candidate on the recommendation of the Advisory Committee.
- h. Any difference arising between the candidate and his/her Advisory Committee with respect to the research work shall be referred to the Research Committee whose decision shall be final and binding to all parties.
- i. The candidate should defend his/her thesis in front of Research Committee, Advisory Committee and invited public.

12. Completion and Submission of Research Thesis

- a. The candidate shall pursue his/her research work at the School of Education or at any other institution approved by the Research Committee during the period of his/her study program.
- b. The candidate shall spend stipulated number of hours in a week at School of Education for his/ her research work.
- c. Extension of the period for completion of the research thesis beyond the officially designated five-year period may be granted by the Research Committee for a maximum period of one year only upon justifiable ground as recommended by the Advisory Committee.
- d. In case the candidate is permitted an extension by one year beyond the total period of five years, he/she shall re-register for the thesis upon payment of fees as determined by Research Committee. This re-registration will however be limited to one-time one year-extension.
- e. The candidate upon completion of thesis shall submit within the prescribed time eight hard copies of neatly computer - printed and properly bound thesis (in dark burgundy), one electronic copy (CD), and a summary of the thesis to the Coordinator accompanied by a certificate from the Advisory Committee, duly signed by all its members, of his/her

having completed the thesis indicating the period of involvement in the research, and whether the thesis is worthy of consideration for award of PhD degree.

- f. The candidate shall submit a declaration in writing to the effect that:
 - he/she has not submitted the thesis to any other institute for award of any academic degree or as an output of consulting or any other professional work carried out as a part of his/her employment or paid/unpaid contract, and
 - the thesis submitted is the work of his/her own original research study and is not the basis for which any degree already awarded by a university or institute.
- g. The thesis submitted for examination should satisfy the following requirements:
 - The thesis must be an independent and original piece of research.
 - The thesis must demonstrate satisfactory use of academic research competence and render some contribution to the existing knowledge in the related field.
 - It must be satisfactory in terms of its language and presentation.
 - It must be written in English or Nepali or other national languages following the format and style prescribed by the Research Committee.

13. Plagiarism

- a. Plagiarism, i.e. copying from one or more published sources without proper citation, is a serious offence and will result in rejection of the thesis.
- b. The Research Committee shall from time to time issue rules and norms defining the conditions of Plagiarism.

14. Examination of Thesis

- a. The candidate shall make a mid-term presentation of his/her research findings at the time planned by the Coordinator.
- b. The candidate shall defend his/her thesis (in public) to Research Committee in presence of Advisory Committee members at the date and time determined by the Dean's Office. The Research Committee shall invite one or more external subject experts, students and faculty of the School.
- c. The thesis defense is normally open to public.
- d. Research Committee shall circulate in advance the synopsis of the thesis to all the invitees.
- e. The candidate shall incorporate the comments from defense and submit the final thesis report to the Dean's office through the Chair of the Advisory Committee.

- f. The Dean upon recommendation of Chair of Advisory Committee shall appoint two subject area experts as external evaluators for the Thesis, at least one of which shall be from recognized international academic institution.
- g. The Research Committee shall organize a viva voce examination in presence of two external evaluators.
- h. The Chair of the Advisory Committee shall in consultation with other committee members, if any, examine the thesis using the evaluation form as prescribed by the Research Committee.
- i. The Chair of Advisory Committee shall evaluate the thesis in the prescribed format and conclude the evaluation report with one of the following recommendations:
 - The thesis be accepted without further alteration.
 - The thesis be accepted, subject to typographical errors being amended.
 - The thesis be accepted, subject to amendments being completed.
 - The candidate be required to re-register to complete further work and the thesis be resubmitted for examination.
- j. The candidate shall submit final report after incorporating comments from the viva voce examination.
- k. In case of unsatisfactory report, the Research Committee may ask the candidate for revision and again organize viva voce examination.
- l. The Research Committee shall reject the candidate obtaining unsatisfactory grades (fail) in Research Thesis examination for more than three times.
- m. The Chair of the Advisory Committee shall submit a written report on the prescribed form reporting his/ her opinion about the quality of the work in relation to the award of the PhD degree.
- n. The Research Committee shall determine whether the candidate has fulfilled all the requirements of the degree. It may consult with the Thesis Advisory Committee and External Examiners if there is a need and/ or with the candidate for further information.
- o. The Research Committee considering the evaluation of the Examiners and the candidate's performance on the thesis defense meeting shall decide and document the final grade for the research thesis as satisfactory or excellent.

15. Award of the Degree

- a. The Dean of the School shall compile and present to the Examination Board of the University through the Controller of Examinations the grades of the taught courses and the thesis for processing the result of the candidates.
- b. The Examination Board shall announce the result of the candidates and the Controller of Examinations shall notify the same.
- c. The successful candidates shall be awarded the PhD in Education degree following the regular procedures of the University.

16. Ownership of Intellectual Property

The Kathmandu University School of Education owns the intellectual property rights on the PhD thesis, and the candidate shall seek and get permission from the University for making commercial use of his/ her output/ product in which case the University may share the benefit accruing from such use under the agreement reached between the candidate and the University.

17. Grievance Procedure

Concerns, suggestions, feedback and complaints related to the Advisory Committee on such matters as support, feedback, evaluation, behavior, and conflict in the research issue should be communicated in the following sequence:

- a. Communication/ discussion with the Chair and the concerned member(s) of the Committee on the issue.
- b. Communication/ discussion with the concerned program coordinator (if discussion as suggested in step (i) does not fully address the issue) in which case discussion and results of step 1 must be referred to and reviewed.
- c. Communication/ discussion in the Research Committee (if discussions as suggested in steps (i) and (ii) do not fully address the issue) in which case discussion and results of step (i) and (ii) must be referred to and reviewed.
- d. Communication/ discussion with the Dean.

18. Miscellaneous

- a. In order to ensure the quality of the PhD Program and the research work of the candidates, the Research Committee shall initiate and propose necessary actions relating to its modus operandi.
- b. The provisions specified in the PhD in Education Regulations shall be executed by the Dean of the School.

- c. The Academic Council of the University shall be the final authority to interpret the provisions of the PhD in Education Regulations on the advice of the Dean of the School and the Research Committee.