

**REVISED REGULATIONS GOVERNING DOCTOR OF
PHILOSOPHY (Ph.D.)/
MASTER OF PHILOSOPHY (M.Phil.) IN HEALTH AND
ALLIED HEALTH SCIENCE FACULTIES**



S D U A H E R

2016

SRI DEVARAJ URS ACADEMY OF HIGHER EDUCATION AND RESEARCH

A DEEMED TO BE UNIVERSITY

(Declared Under Section 3 of UGC Act 1956, MHRD GOI No. E9-36/2006-U.3 (A), Dt. 25 th May 2007)

POST BOX NO. 62, TAMAKA, KOLAR - 563 101, KARNATAKA, INDIA.

Ph.: 08152-243003, 210604, 210605, Fax: 08152-243008,

E-mail: registrar@sduu.ac.in/office@sduu.ac.in.

Web : www.sduu.ac.in



At a glance this logo is abstract, yet it contains the vital ingredients for an institution like Sri Devaraj Urs Academy of Higher Education and Research.

The institution's medical background, humanitarian values, Compassion, approachability, social commitment and the subsequent research towards the most precious thing, the human life, is the core theme.

The graphic form of a person in the Centre of a bud represents the humanity. It denotes the growing process of life and its existence. And the two hands safeguarding them show the care and a sense of security. It is also capable of holding something within the vast expanse of knowledge by the University for the People's Benefit. Hence, the motto "Knowledge for Posterity" is very appropriate and gives a punch in Red. The four light blue half circles (smaller to bigger) depict the unending quest for knowledge and imparting it to a wider horizon, growing higher and higher.

And finally, the whole unit is embedded in a "D" shaped graphic template as background to give it a corporate identity.

COLORS USED:

Deep Blue: Credible, Confident and dependable. Represents Peace, tranquility, stability, harmony, trust, security, cleanliness and loyalty.

Light Blue: For sky and water (colour scheme for 4 half circles)

Red: A dominant colour for strengths.

Green: For nature, health and generosity. It's cool quality soothes and has great healing powers.

VISION

To become one of the best Research Centres in the region in biomedical and allied health research useful to mankind.

MISSION

To become a quality Centre for advanced research

To encourage Research scholars in realizing their dreams into action through scientific achievement in the current health and allied sciences

To inculcate the attitude in students to respect and update ethical values in health research in a dynamic environment

GOALS

To increase the enrolments to M.Phil. / Ph.D. Programmes

To facilitate JRF/SRF to enroll for Ph.D. programme

To expose research fellows from life-science background to short term basic medical science for better understanding of health research

To create post-doctoral environment for aspirants who wish to excel in research

To start integrated M.Sc.-Ph.D. and M.Phil.-Ph.D. Programmes



**REGULATIONS GOVERNING DOCTOR OF PHILOSOPHY (Ph.D.)/
MASTER OF PHILOSOPHY (M.Phil.) IN HEALTH AND ALLIED
HEALTH SCIENCE FACULTIES**

Preamble:

Sri Devaraj Urs Academy of Higher Education & Research is committed to encourage research activities involving local, national and global issues in Health /Allied health and Basic sciences, and develop manpower for the purpose.

The University Grants Commission (UGC) has issued a Notification on 5th May 2016 regarding minimum standards and procedures for award of M.Phil./Ph.D. degree and makes Regulations 2016, which have been notified vide Gazette of India dated 13-07-2016. This regulations is in force from the date of Notification and suppress the UGC minimum standards and procedures for award of M.Phil./Ph.D. degree Regulations 2009 notified in the Gazette of India No 28,part III-section 4 for the week july11- 17,2009.

Consequently, Sri Devaraj Urs Academy of Higher Education and Research (SDUAHER)- a deemed University revised the regulations by incorporating all the conditions/procedures laid down by the UGC in 2016 M.Phil./Ph.D. regulations and set forth for practice as minimum standards for award of M.Phil./Ph.D. degree.

M.Phil./Ph.D. regulations 2009 is in force until 5th may 2016 and for those who registered for M.Phil./Ph.D. Programmes on or after July 2009 till 5th may 2016 are governed by the provision of the 2009 regulations. However 2009 regulation is suppressed after 5th May 2016 where UGC has brought revised guidelines as minimum standards and procedure for award of M.Phil. and Ph.D. degree .

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REVISED REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) / MASTER OF PHILOSOPHY (M.Phil.)

1.0 NOMENCLATURE OF THE DEGREE

The degree awarded by the University shall be called “DOCTOR OF PHILOSOPHY” in the “Faculty of” Medicine / Allied Health and Basic Sciences. “MASTER OF PHILOSOPHY “ in Allied Health sciences.

1.1 DISCIPLINE

Admission to Ph.D. program offered in the subjects of under

1.11 FACULTY OF MEDICINE

(I) Pre- clinical

1. Anatomy
2. Physiology
3. Biochemistry

(II) Para-Clinical

1. Pathology
2. Microbiology

(III) Clinical

1. ENT
2. Ophthalmology
3. Surgery
4. Obstetrics & Gynecology
5. Radio diagnosis
6. Medical Education

1.12 . FACULTY OF ALLIED HEALTH SCIENCES

- (a) Cell biology and Molecular Genetics
- (b) Interdisciplinary Nursing
- (c) Interdisciplinary Physiotherapy
- (d) Audiology and Speech Language Pathology

2.0 SHORT TITLE, APPLICATION AND COMMENCEMENT

2.1 These Regulations may be called as *“Sri Devaraj Urs Academy of Higher Education and Research M.Phil./Ph.D. regulations 2016”* based on the UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees Regulations, 2016 dated 5.5.16 published on 13.07.2016

2.2 This shall apply from 13.07.2016 onwards to SDUAHER a deemed to be University declared under Section 3 of UGC Act, 1956.

2.3 Regulation is into force from the date of their publication in the Gazette of India 13.07.16

3.0 ELIGIBILITY CRITERIA FOR AN ADMISSION TO THE M.Phil. PROGRAMME

3.1 Candidates for admission to the M.Phil. Programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, 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.

3.2 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 Commission from time to time, or for those who had obtained their Master's degree prior to 19th 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.

4.0 ELIGIBILITY CRITERIA FOR AN ADMISSION TO THE Ph.D. PROGRAMME

4.1 Candidates for admission to the Ph.D. Programme shall have a Master's degree (M.Sc. 2 years for Faculty of Allied Health Sciences/life Science/biological Science/basic sciences /M.Sc. 3 years for Ph.D. programs under Faculty of Medicine) or a professional degree (M.D/M.S or equivalent degree) declared equivalent to the Master's degree by the corresponding statutory regulatory body, 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.

4.2 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 Commission from time to time, or for those who had obtained their Master's degree prior to 19th 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.

4.3 Candidates who have cleared the M.Phil. Course work 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) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme.

4.4 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 Commission from time to time.

4.5 A person whose M.Phil. Dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution;

4.6 Candidates possessing a degree considered equivalent to M.Phil. Degree of an Indian Institution, 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, shall be eligible for admission to Ph.D. Programme.

5.0 FULL TIME CANDIDATES

5.1 Full time Ph.D. student is the one who on deputation from another College/ Institution and/ or is being supported by himself with/without a fellowship/scholarship, pursues his/her research work only, leading to Ph.D. degree as a full time research worker on full time basis without performing any other job or assignment. Such students are required to confirm their status as a full time research worker by a relevant certificate from their employer or funding agency duly endorsed by their Guide, Head of the Department, and Institution to the effect that they are not assigned any other job except doing research leading to the Ph.D. degree.

Such candidates should have obtained Master's Degree (M.D. or M.S. or DNB or P.G. Diploma or M.Sc. Medical / Nursing subjects in the concerned subject and M.Sc. from Faculty of science /life science background/M.Phil. graduates are considered as equivalent by this University and are eligible for enrollment for Ph.D. program as full time research scholars provided they fulfill 2016 Ph.D. admission eligibility criteria.

6.0 IN-SERVICE PART TIME RESEARCH CANDIDATES (INTERNALS)

6.1 A part time Ph.D. student is the one who is already employed as a faculty member in the same or in a different Institution and pursues his research work leading to Ph.D. degree as a part time research worker in a Ph.D. study centre recognized by the University in addition to performing other duties such as teaching, administration, laboratory work, examination work, etc., assigned to him/her. Such students are required to confirm their status by a relevant certificate from their employer duly endorsed by their Guide, Head of the Department and Institution to the effect that they are part time research students.

6.2 Such in service candidates should have obtained Master's Degree (M.D. or M.S. or DNB or P.G. Diploma or M.Sc. Medical / Nursing subjects in the concerned subject and M.Sc. from Faculty of science from life science background/M.Phil. graduates with a minimum of 55% (50% for SC/ST candidates) aggregate in the concerned subject from Faculty of Medicine and Allied Health sciences or science from a Post graduate department are considered by this University as eligible for enrollment for Ph.D. Course.

6.3 Even though, as per the UGC criteria candidate shall be required to work under the guide directly at least for 90 working days for instruction, discussion, etc., during the prescribed period of research along with the one semester course work compulsorily. The Guide shall issue a certificate of actual working days attendance of candidate to the Registrar.

6.4 The minimum duration for such part time Ph.D. students shall be not less than 5 years from the date of provisional registration and maximum up to seven years.

6.5 An in-service candidate even though he/she satisfy the requirement of the eligibility for admission to Ph.D. programme, candidate teaching experience of three years as teaching or research faculty of the department will be considered and permitted to proceed for provisional registration under recognized guide of the university. He/she should have one co-guide from such institute along with the SDUAHER recognized guide in the subject of interest.

7.0 IN SERVICE PART TIME EXTERNAL CANDIDATES (EXTERNAL)

7.1 Part time Ph.D. programme for employed teacher/researcher in recognized institutions and from permissible jurisdiction, provided he/she fulfills the minimum eligibility criteria by possessing any one of the qualification mentioned in the regulations, The institute from where the candidate is applied should be postgraduate department and the research facility/laboratory should be recognized by the University competent authority for consideration. Candidate has to select one co-guide from that Centre recognized from University. Institution No objection certificate should be submitted for pursuing Ph.D. programme during continuity of the employment. Then after he/she will permit to register for the Ph.D. program on a part time basis as external candidates. The Guide shall issue a certificate of actual working days attendance of candidate to the Registrar along with the half-yearly progress reports of research progress.

8.0 DURATION OF THE PROGRAMME

The duration of the M.Phil./Ph.D. program will be from the date of provisional registration to the date of submission of dissertation/thesis. The candidate can register for M.Phil. /Ph.D. program either as a full time or as a part time research scholar.

8.1 M.Phil. Programme shall be for a minimum of one year duration consists of two (2) consecutive semesters or two year duration consists of maximum of four (4) consecutive semesters.

8.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years for regular full time Ph.D. scholars. Internal part time or external part time candidates duration shall be five years and a maximum up to seven years.

8.3 Extension beyond the above limits will be governed by the University/Research advisory committee decision for any genuine reason of the candidate felt appropriate or committee can suggest to initiate suitable action.

8.4 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for M.Phil. and two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of M.Phil. / Ph.D. for up to 240 days.

8.5 Under extraordinary circumstances Ph.D. scholar warranting extension of period of submission of thesis after maximum duration for full time/part time Ph.D. scholars should submit an application to the Registrar through the Guide, who in turn will refer the same to the Ph.D. Registration Committee/research advisory committee for opinion, which will be submitted to the Vice-Chancellor. The decision of the Vice-Chancellor in the matter shall be final.

8.6 A candidate can shift over from full time to part time and vice versa provided he/she fulfills all the criteria laid down by the university and obtains prior permission from the Ph.D. Registration Committee.

Candidates seeking shift from full time to part time is permissible provided candidate

- a) pass in Pre Ph.D. examination
- b) regular employee of the institution/research Centre recognized as Post graduate Centre.
- c) Completed 90 actual working days with the principal guide
- d) approval of Research proposal by Doctoral committee
- e) ethical clearance for initiating research work.
- f) Should not pursue for any degree/diploma/any Post Graduate course during the duration of the registration.
- g) Approval of half yearly progress report/s until the shift period.

However, the decision of the research advisory committee and vice chancellor decision is final in this matter.

11.0 M.Phil. / Ph.D. REGISTRATION SESSIONS

11.1 Eligible Candidates can seek registration for the Master of Philosophy /Degree of Doctor of Philosophy before 31st of the session of July. The course shall ordinarily commence from 1st August of every year (session I).

12.0 PROCEDURE FOR ADMISSION

12.11 Admission to M.Phil./ Ph.D. program shall be made after inviting applications for enrollment and registration through notification issued by the Registrar.

12.12 University decides on an annual basis about through their academic bodies a predetermined and manageable number of M.Phil. and/or Ph.D. scholars to be admitted depending on the number of available Research Supervisors and other academic and physical facilities available, keeping in mind the norms regarding the scholar- teacher ratio (as indicated in Para 14.5), laboratory, library and such other facilities.

12.13 University shall notify permissible number of seats well in advance in the institutional website and through advertisement in national newspapers, of which at least one (1) shall be in the regional language, the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination

Centre where entrance test shall be conducted and all other relevant information for the benefit of the candidates.

12.14 Eligible candidates can submit the Applications for enrollment in prescribed format available in the website or can be had from the office of the Registrar, SDUAHER during working hours. The duly filled in application forms along with desired Demand draft drawn in favor of The Registrar SDUAHER payable at Kolar from any Nationalized Bank (along with research proposal) submitted to the Registrar on or before the last date prescribed in the notification.

12.15 Admission to M.Phil. /Ph.D. Programmes through an Entrance examination/Test conducted at the level of Deemed to be a University.

12.16 The admission shall be based on the National/State-level reservation policy, as applicable from time to time (Gazette Notification) and also guidelines of UGC.

12.17 Ph.D. Scrutiny Committee scrutinizes all the applications and prerequisite eligibility criteria as per UGC guidelines, and directs the Centre to consider the recommended list of eligible applicants. Admission ticket will be sent to the students well in advance before conduct of entrance examination from the Centre.

12.18 The composition of Ph.D. Scrutiny committee consists of members designated by Honorable Vice chancellor.

1. Vice-Chancellor ... Chairperson
2. Registrar Member convener
3. Dean of the concerned Faculty ... Member
4. Head of the Department concerned ... Member
5. Chairperson, BOS concerned ... Member
6. Director of Academics....Member
7. Deputy Director M.Phil. /Ph.D. Program... Member

12.19 Admission of candidates to M.Phil. / Ph.D. Programmes is of two stage process occurs through

1) An Entrance Test/examination, shall be qualifying with 50% of marks. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance examination shall be conducted at the University Centre notified in advance, and also any changes of center also to be notified well in advance in the website.

2) Qualified candidates in entrance test have to appear for interview /viva-voce to be organized by the University.

12.20 Qualified candidates in entrance test have to appear for interview /viva-voce to be organized by the University. Where the candidates are required to discuss their research interest/area through a presentation before a duly constituted University / Department Research Committee.

12.21 The interview/*viva voce* shall also consider the following aspects, viz. the candidate possesses the competence for the proposed research /the research work can be suitably undertaken at the Institution/College and the proposed area of research can contribute to new/additional knowledge.

12.22 Students admission to Ph.D. Program through an Entrance Test conducted at the level of University. Candidates who have passed UGC-NET (including JRF)/UGC-CSIR NET (including JRF) /SLET/GATE/teacher fellowship holder or have passed M.Phil. programme *shall exempted from the written test. But they need to appear before interview committee.*

12.25 The University shall maintain the list of all the M.Phil. / 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.

13.0 TREATMENT OF Ph.D. / M.Phil. THROUGH DISTANCE MODE/PART-TIME

13.1 SDUAHER (a deemed university) *shall not have any provision* in regulation to conduct M.Phil. and Ph.D. Programmes through distance education mode.

However, part time Ph.D. will be allowed provided that all the conditions mentioned in the Ph.D. regulations of the University are met.

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

14.0 ALLOCATION OF RESEARCH SUPERVISOR

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of M.Phil./Ph.D. Scholars permissible per Supervisor, etc.

Eligibility criteria to be a Research Supervisor

14.1 Any regular Professor of the University/Institution Deemed to be a University/College with at least five research publications in refereed journals and any regular Associate/ Assistant Professor of the university/institution deemed to be a university/college with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

Note: Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

14.2 Only a full time regular teacher of the concerned University/Institution Deemed to be a University/College can act as a supervisor. The external supervisors are not 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 approval of the Research Advisory Committee.

14.3 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*.

14.4 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/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

Number of M.Phil./Ph.D. Scholars permissible per Supervisor

14.5 A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

14.6 On Allocation of Research supervisor to successful candidates in entrance examinations, should also submit information in the broad area of research in which he/she intends to do research in the form of research proposal. The research proposal containing introduction; review of literature; hypothesis: aims and objectives of the study; plan of work; materials and methods; and probable anticipated outcome, bibliography, questionnaire if any and has to be duly signed by the Candidate.

Such detailed research proposals submitted by the candidate will be placed before a Doctoral committee to examine and review the proposal. Committee after presentation of the preliminary synopsis of the proposed Ph.D. topic finds that proposal is in suitable or acceptable form will make recommendations to the University.

14.7 In case of relocation of an M.Phil./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 parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

15.0 ELIGIBILITY CRITERIA TO BECOME A CO-SUPERVISOR

A Co- supervisor/co-guide may have qualifications similar to that of a Guide or a minimum of three years of clinical/ teaching experience after post-graduation and contributed by way of Publication of monographs / text books approved by the University and / or a minimum of three publications in accredited journals.

16.0 COURSE WORK

Credit Requirements, Number, duration, syllabus, minimum standards for completion, etc.

10.10 Provisionally registered candidates undergo Ph.D. course work treated as prerequisite assigned to the M.Phil./ Ph.D. Programmes. The range of credit assigned to the M.Phil. or Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits. Eight (08) credits considered and assigned to M.Phil. and Ph.D. Programmes by SDUAHER.

10.12 The Course work shall be treated as prerequisite for M.Phil. / 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 courses preparing the students for M.Phil./Ph.D. degree.

10.13 All courses prescribed for M.Phil. and 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 authorized academic bodies.

10.14 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 13.1 below, of the research scholar.

10.15 All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the Course work prescribed by the Department during the initial one or two semesters.

10.16 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. Course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

10.17 Grades in the Course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Institution/College.

10.18 A M.Phil./Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade **B** 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.

10.19 However, it shall be mandatory for all the provisionally registered candidates to make a presentation of research proposal before a panel of experts and if necessary before the Institutional Ethics Committee and/or Animal Ethics Committee, whichever is applicable, on date(s) specified by the committee, and to obtain written approval by such committee (s).

11.0 PRE Ph.D. EXAMINATION/ SCHEME

The scheme for Pre-Ph.D. examination to be conducted by the University shall be as follows:

11.10 Two written papers, each of three hours duration and each carrying maximum of 100 marks. The syllabi for the paper-1 on Research methodology (consists of quantitative methods, computer applications, Research ethics, review of published research in the relevant field, training and field work)

Paper-2 subject specific/ area of specialization/specialization background of the Ph.D. topic. Each scholar subject specific syllabus in the area of specialization with recent developments shall be prescribed by the Research supervisor of SDUAHER and should be submitted a month before the examination.

11.11 SDUAHER approved panel of subject experts submitted by the supervisor in the concerned subject as experts will be nominated by the Vice chancellor for question paper setting and also another expert from the list will be invited for evaluation of the paper.

The Board of Examiners for the Pre Ph.D. Examination consists of

1. Guide/Internal Examiner (Chairman).
2. One external examiner chosen by the University.

The Syllabus for the two theory papers of Pre-Ph.D. examination will be subjected to Controller of Examination of the University for approval by University concerned Board and shall be communicated to the candidate and to the concerned Guide and Co-Guide, at least one month earlier to the examination after they are approved.

11.12 In case the candidate is not successful in the Pre Ph.D. Examination in the first attempt he/she may be given one more chance to appear for the entire examination after a period of six months and paying requisite fee of Rs 1000/- (one thousand only).

11.13 If the candidate is not successful in the Pre Ph.D. examination, even in the second appearance, his/her provisional registration shall stand cancelled. Provisional registration of the candidates will be confirmed only after they pass the Pre Ph.D. examination.

12.0 CRITERIA TO PASS PRE Ph.D. EXAMINATION

A M.Phil./Ph.D. scholar has 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.

13.0 RESEARCH ADVISORY COMMITTEE / DOCTORAL COMMITTEE AND ITS FUNCTIONS

13.10 There shall be a Research Advisory Committee, or an equivalent body for similar purpose as defined in the Statutes/Ordinances of the Institution concerned, for each M.Phil. and Ph.D. scholar.

The composition of Research advisory committee or Doctoral committee consists of members designated by Honorable Vice chancellor.

1. Dean of the Faculty concerned ... Chairman
2. Chairperson, BOS concerned ... Member
3. Director of Academics
4. Recognized supervisor and co supervisorMember & convener
5. One External Expert from PG Centre-Rank of Professor ... Member
6. Deputy Director M.Phil. / Ph.D. ProgramMember

The Research Supervisor of the scholar shall be the Convener of this Committee. This Committee shall have the following responsibilities:

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

13.12 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.

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

13.14 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 Institution/College with a copy to the research scholar.

13.15 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 Institution/College with specific reasons for cancellation of the registration of the research scholar.

14.0 PERMANENT REGISTRATION

Every candidate provisionally registered for the Degree of Doctor of Philosophy (Ph.D.)

- 1) Should submit PG degree certificate and a document to justify 55% in Post graduate degree as eligibility criteria .(relaxation is permitted as per 2016 regulations)
- 2) Possess the finalization of the research proposal and acceptance of synopsis by the doctoral committee
- 3) should complete SDUAHER pre Ph.D. course work followed by Pre Ph.D. examination and declared as pass with 55%
- 4) Fulfillment of the Academic year Tuition fee.

Such provisionally registered candidates are allowed to carry out research work under the supervision of a Guide and co-guide and also by the Research Advisory Committee and will be considered for permanent registration at the end of one year.

15.0 CHANGE OF GUIDE

15.10 No change of supervisor/ guide is allowed for any candidate registered for Ph.D. programme. However, in exceptional circumstances change of guide may be allowed within a period of less than two years of receiving guidance with the permission of the Guide and approval from the Research Advisory committee /Ph.D. Registration Committee of the University.

15.11 The conditions under which change of guide is allowed are:

- a. The Guide has gone abroad or left the University / Institution.
- b. When there is illness or death of the Guide.

In such cases of extraordinary circumstances, warranting change of Guide, the Guide/ student should place the facts before the University Ph.D. Committee for its opinion. **The decision of the Research Advisory committee /Ph.D. Registration Committee shall be final, for change of Guide.**

15.12 Candidate has to obtain willingness from the first supervisor for change of guide, similarly other recognized guide in the University in the same specialty to be the guide. Both the letters should be endorsed by the head of the Institution. Then University may consider for change of guide.

15.13 University can also hear the issues where the request from the scholar

- a) Ph.D. Scholar on completion of two years of his/her research and guide is transferred to other area, and then co guide of the scholar can guide the scholar with the permission of the University.
- b) Ph.D. Scholar is interested to move along with the Guide in the event of the transfer of the Guide, the scholar will be permitted with the permission of the Board provided the new place/Centre has been recognized by the SDUAHER as research Centre.

16.0 CHANGE OF TITLE OR FIELD OF RESEARCH

8.61 A Ph.D. candidate can change the title of his/her proposed thesis or field of research work under extra ordinary circumstances within two years on prior permission from the Ph.D. Registration Committee and approved by Vice-Chancellor of the Academy, on payment of the prescribed fee (1000/-) to the University. Such candidates shall submit their thesis only after three years for full time candidates and four years for part time candidates from the date of change of topic.

He/She have to appear for pre Ph.D. examination (paper-1 and paper 2) again after the change of topic within one year.

Transfer of Ph.D. registration from SDUAHER to other University is not permissible.

17.0 SUBMISSION OF HALF YEARLY PROGRESS REPORTS

17.10 After provisional registration, every candidate shall submit the half yearly progress reports regularly in three sets in the prescribed format as Annexure through the Guide and Co-Guide to the Registrar of the University with a copy to the head of the department concerned and the Head of the Institution for assessment by the subject experts of the Ph.D. Scrutiny Committee/Research advisory committee and their comments. Their comments/ Observations will be communicated to the concerned candidate and Guide.

17.11 Every such half yearly report shall be submitted for the period from 1st July to the end of December. However, the 2nd report from 1st February to end of June. However, the very first report for the fraction of six months period shall be submitted at the end of June or December. The reports should be written in accordance with the style of scholarly writing.

17.12 Each Ph.D. candidates should submit the summary of each of his/her previous half yearly progress reports in order, along with the subsequent report submitted for approval. All Ph.D. candidates should submit their half yearly progress reports in the prescribed format issued by the University. The reports should be written in accordance with the style of scholarly writing.

17.13 All the Ph.D. students should maintain a Logbook, duly signed by the Guide and Head of the department/Institution and this should be made available at the time of inspection and examination.

17.14 The Research proposal of the Ph.D. topic submitted by the candidates should have been cleared by the appropriately constituted central Ethics Committee of the University (Respectively for Experiments on human subjects and / or animals) before the submission of the 1st progress report by the candidates.

18.0 Ph.D. REGISTRATION CANCELLATION

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 Institution/College with specific reasons for cancellation of the registration of the research scholar.

Note: If three consecutive half yearly progress reports are not satisfactory, Research Advisory Committee may recommend to the University for Cancellation of the registration.

19.0 PUBLICATION OF RESEARCH PAPERS

M.Phil. scholars shall present at least one (1) research paper in a conference/seminar and Ph.D. scholars must publish at least one (1) research paper in refereed journal and make two paper presentations 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.

20.0 EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/CREDITS FOR AWARD OF THE DEGREE

20.10 The overall minimum credit requirement, including credit for the course work, for the award of M.Phil. Degree shall not be less than 24 credits.

20.11 Upon satisfactory completion of Course work, and obtaining the marks/grade prescribed in sub-clauses 7.8 above, as the case may be, the M.Phil./Ph.D. scholar shall be required to undertake research work.

20.12 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 Institution/College with a copy to the research scholar.

21.0 SUBMISSION OF FINAL THESIS SUMMARY/ SYNOPSIS:

21.10 Upon on satisfactory completion of course work, successful completion of pre Ph.D. examination, Ph.D. scholar shall under take research work after clearance from concerned Central Ethics committee. Once after completion of research work and acceptance of all the progress reports final synopsis of the draft thesis in the University prescribed format has to be prepared as stipulated by the Institution based on these regulations and submitted to the University research advisory committee.

21.11 Prior to the submission of the final summary/synopsis of the draft thesis, the scholar shall make a presentation in the Department before research advisory committee of the Institution concerned which shall also be open to all the 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.

21.12 Each Ph.D. candidates shall submit an application along with the final summary (Six copies)/CD format containing the summary of the research work done, duly signed by the Guide and Co-guide, to the Controller of Examinations at least three months before submission of final thesis.

21.13 The Controller of Examinations, shall proceed with the constitution of panel of three Examiners (including Guide as internal examiner) from a panel of not less than six experts submitted by the Guide, and approved by the Board of Examiners of the University for adjudication of the Ph.D. thesis summary /final synopsis.

21.14 The Controller of Examinations shall forward the summary/final synopsis to two appointed external examiners. Upon receipt of acceptance in writing by the external examiners the Controller of Examinations shall inform the concerned Ph.D. scholar to submit the thesis then send the thesis to them for evaluation.

21.15 The candidate shall submit five copies of his/her thesis along with a soft copy (CD) three to six months after submission of the summary, not earlier than the prescribed minimum period and not later than the prescribed maximum period duly signed by the Guide and Co-Guide to the Controller of Examinations.

21.16 After the summary is approved by two experts in writing the Controller of Examinations shall forward one copy of the thesis to each of the external examiners either by registered post or by email on mutual agreement. The final open defense viva voce shall be conducted within six months from the date of submission of the thesis.

21.17 A candidate shall also submit along with his/her thesis

a) A certificate from the Guide(s) under whom he/she worked to the effect that, the thesis submitted is a bonafide record of research work done by the candidate during the period of study under him/her and that it has not previously formed the basis for the award of any degree /diploma, Associateship / fellowship or any other similar award. If, however, the thesis submitted has formed in part the basis for the award of previous research degree, the candidate shall clearly set forth in a preface or written statement the portion(s) which have formed the basis for the award of the previous degree.

b) "No due certificates" from the Chairman and Head of the Institution where he/she has worked, from the University Librarian and from the Finance Officer from the SDUAHER.

- c) Research papers published by him/her related to their research topic, during his / her course as Ph.D. student that embodying the results of research investigation.
- d) Research supervisor attest and vouch that the dissertation/thesis prepared subjected for plagiarism check by software and found No plagiarism.

22.0 ADJUDICATION OF Ph.D. THESIS

23.10 For the adjudication of Ph.D. thesis, a board of three examiners shall be appointed by the Registrar (E) in consultation with the Vice Chancellor. The Guide of the candidate shall normally be the Chairman of the Board of the Examiners, who shall also act as coordinator and internal examiner. However, under extraordinary circumstances, the University may appoint a chairman other than Guide from the panel of Board of examiners. The two external members of the Board of examiners, has to be chosen by the University from panel of examiners (10 nos.) recommended by the Ph.D. Registration Committee/advisory committee in addition to the names suggested by the Guide, at least 6 months prior to the expected date of submission of the thesis. The panel shall include examiners who on the basis of their published work are acknowledged as eminent scientists in field of study under taken by the candidate.

One of the Examiners should be from outside the State

22.11 The University shall ascertain from the external examiners their willingness to act as an examiner for a particular thesis. A copy of the final synopsis shall be sent to the external examiners along with this communication. External examiner appointed to adjudicate the thesis shall send the report to the **Registrar** of the Academy within two months from the date of receipt of the thesis. Such reports should include:

22.12 A critical account of the work of the candidate as embodied in the thesis and an evaluation of the work in terms of its contributions to the advancement of knowledge.

22.13 Questions to be asked or points to be clarified at the time of viva-voce examination should be sent in a sealed cover to the **Registrar** of the Academy. These

questions/comments should be made available to the candidate only before the commencement of the viva voce examination.

Definite recommendations as to:

22.14 The research work of the candidate as advancing the existing knowledge in the subject and therefore the thesis can be accepted for the award of Ph.D. degree in the present form.

22.15 The thesis can be accepted for the award of Ph.D. degree after minor correction/revision as suggested (points on which revision is required has to be stated by the examiner).

22.16 The thesis should be revised and resubmitted for evaluation (revision required should be stated clearly by the examiner).

22.17 The research work has failed to achieve the desired standard and hence the thesis is rejected (precise reason for such rejection must be stated clearly by the examiner).

If any two of the Examiners give definite recommendations against the award of the degree, the thesis shall be rejected.

22.18 If one of the examiners gives a definite recommendation against the award of the degree the thesis may be referred to another external examiner, from the panel recommended by the Ph.D. Registration Committee. If the report of the third examiner is favorable, then the candidate shall be eligible to appear for the Viva-Voce examination and if it is not favorable, then the thesis shall be rejected.

22.19 If one of the examiners makes qualified recommendations with valid reasons (for e.g. to resubmit the thesis after suitable modifications) University will in turn intimate the candidate for resubmitting the thesis after suitable modifications within six months from the date of communication. The resubmitted thesis will be again sent to the same examiner.

22.20 No candidate shall, however, be permitted to submit the thesis more than twice. The thesis may be published in any form after obtaining necessary permission from the University.

The Academy shall take a decision on the thesis based on three reports for conducting defiance according to the following norms:

22.21 A Ph.D. thesis that has been rejected earlier may be resubmitted after revision, subject to the payment of the evaluation and term fees. A thesis required to be revised should be resubmitted not earlier than one year, failing in which the candidate shall be required to go in for re-registration. Revised thesis shall be sent to the same examiners. However, in the event of refusal by the original examiner another examiner shall be appointed.

23.0 VIVA-VOCE EXAMINATION

23.10 After the dissertation/thesis has been accepted by The Academy, the public viva voce examination will be conducted to defend dissertation/thesis by the University on a suitable date announced by the University well in advance, so that the faculty members and others interested in the topic of the thesis can be present. The Board of examiners shall take into consideration the views and criticism, if any, of the faculty members and others participating. However, the result of the examination shall be decided solely by the members of the board of examiners.

23.11 Viva-voce examination shall be conducted after the receipt of the satisfactory report, on the dissertation/thesis from all the examiners. The viva-voce examination shall be conducted by a Board of Examiners constituted as follows:

- | | | | |
|----|---|---|---------------------------|
| a. | Dean | - | Chairperson |
| b. | HOD | - | Member |
| c. | Chairperson of BOS
(Concerned subject) | - | Member |
| d. | Co-guide | - | Member |
| e. | External member | - | Member |
| f. | Guide | - | Member Secretary/convener |

At least one of the external examiners shall be present at the time of Viva-Voce examination. Normally the external examiners from India who assessed thesis of the candidate will act as the external examiner at the time of viva-voce examination.

23.12 However, under extraordinary circumstance where any external examiner cannot be present at the Viva-Voce examination, the Vice-Chancellor may appoint any external substitute examiner/s from out of the panel recommended by the Committee and approved by the University.

One University representative as observer shall submit a report on conduct of Viva-Voce examination to the Registrar /controller of Examination

Teachers and research scholars of the concerned departments / institutions may be invited as observers only to attend the viva-voce examination.

23.13 The Viva-Voce examination is primarily designed to test the understanding by the candidate of the subject matter of the thesis including methodology employed and his/her competence in the general field of study. Since the points raised by the examiners of the thesis are to be clarified during the Viva-Voce examination, the report of the examiners who adjudicated the thesis shall be made available to the Board of Examiners for Viva-voce examination. The candidate shall produce all the relevant

documents, materials, preparations, etc., connected with the research project during Viva-Voce examination.

Note: *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 report of the external examiner in case of M.Phil. Dissertation, or one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend viva-voce,*

The Institution 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.

24.0. RESULTS

25.10 The candidate shall be declared for the award of the degree of Master of Philosophy/Doctor of Philosophy, only on the unanimous recommendations of the members of the board of examiners after the viva voce examination.

Members of the Board of Examiners for the Viva-Voce examination shall report specifically on whether the candidate's performance in the examination is satisfactory and therefore be considered for the award of Ph.D. degree or not.

In case the examiners are not satisfied with the performance of the candidate in the Viva-Voce examination, the candidate shall be permitted to undergo the Viva-Voce examination for a second time after a period of three months. No candidate shall be permitted to take the viva-voce examination on more than two occasions.

24.11 After the candidate successfully completes the Viva-Voce Examination, the Chairman shall consolidate the recommendations for the award of the Ph.D. degree based on the following:

- a. The report of the examiners who adjudicated the thesis.
- b. Evaluation of the candidates performance in the viva-voce examination.

The chairman shall then forward the consolidated and the individual reports to the Registrar /Controller of Examination of the University.

25.0. AWARD OF Ph.D. DEGREE:

25.10 Based on the reports of the Board of Examiners and **observer's** report the University shall award the Ph.D. Degree after the recommendations are approved by the Vice-Chancellor and the Academic Council. The Ph.D. degree will be awarded in the respective subject of specialization of the respective faculty and shall be designated as Doctor of Philosophy. A degree under the seal of the University and signed by the Vice-Chancellor will be given to each successful candidate at the next convocation held for conferring degrees.

25.11 Along with the degree, the degree awarding Academy, institution Deemed to be University, college/institution of National Importance, as the case may be, shall issue a Provisional Certificate certifying to the effect that the degree has been awarded in accordance with the provisions to these regulations of the UGC.

25.12 AWARD OF M.Phil./Ph.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS (5th may 2016)

Award of degrees to candidates registered for the M.Phil./Ph.D. programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of M.Phil./Ph.D. Degree) Regulation, 2009.

25.13 If the M.Phil./Ph.D. degree is awarded by a Foreign University, the Indian Institution considering such a degree shall refer the issue to a Standing Committee constituted by the concerned institution for the purpose of determining the equivalence of the degree awarded by the foreign University.

26.0. PUBLICATION OF RESEARCH WORKS FROM THE THESIS:

The thesis is public domain document and the research embodied in the thesis may be published either in part or in full by the candidate/ Guide in reputed journals.

27.0. DESPOSITORY WITH INFLIBNET

Following the successful completion of the evaluation process and announcements of the award of the M.Phil. / Ph.D. the Academy shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all institutions/universities.