

**REGULATIONS GOVERNING
DOCTOR OF PHILOSOPHY (Ph.D.)**



S D U A H E R

2023

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.F.9-36/2006-U.3 (A), Dt. 25th May 2007)

POSTBOX NO. 62, TAMAKA, KOLAR - 563 103, KARNATAKA, INDIA.

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

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

Website: www.sduaher.ac.in



Sri Devaraj Urs Academy of Higher Education and Research
(A Deemed to be University declared under Section 3 of UGC Act 1956)
Kolar, Karnataka-563103.

**Rules and Regulations Governing
Doctor of Philosophy (Ph.D.) Programme**

**Applicable for students admitted from
January 2023 onwards**

In accordance with the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 dated 7th November 2022.

Approved by the Academic Council in the 42nd meeting held on 16th November 2022 and by the Board of Management in the 69th meeting held on 22nd November 2022.

Notified by the Registrar of the Academy vide letter number 2821 dated 22nd December 2022.

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Abbreviations

SDUAHER	Sri Devaraj Urs Academy of Higher Education and Research
UGC	University Grants Commission
Ph.D.	Doctor of Philosophy Degree
DRAC	Doctoral Research Advisory Committee
UGC CARE	University Grants Commission Consortium for Academic and Research Ethics.

1. Programme disciplines

1.1. SDUAHER shall conduct Ph.D. programme in all the departments under the two disciplines as below:

- a) Faculty of Medicine
- b) Faculty of Allied Health and Basic Sciences

1.2. Ph.D. scholars may be admitted in any department provided duly recognized research supervisors are available in the same department.

2. Eligibility criteria for admission

2.1. The following candidates are eligible to seek admission to the Ph.D. programme:

- a) Candidates who have completed:

A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-years bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

Or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institution.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed.

- b) Candidates who have completed:

M. Phil. Programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 to assess, accredit or assure quality and standards of the educational institutions shall be eligible for admission to the Ph.D. programme.

c) Candidates seeking admission under the Faculty of Medicine:

Must have obtained Doctor of Medicine (MD) or Master of Surgery (MS) or Medical Master of Science (M.Sc.) degree from a Medical College recognized by National Medical Commission. In addition, Medical M.Sc. degree should be of three years duration with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification.

d) A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the UGC from time to time.

3. Programme duration

3.1. The three categories of Ph.D. are regular full time (external), in-service part time (internal) and external part time.

3.2. 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 candidate's duration shall be minimum five years and a maximum of six years.

3.3. A maximum of an additional two (2) years will be given through a process of re-registration as per the procedure of SDUAHER; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

3.4. Provided further that female Ph.D. scholars and persons with disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

4. Type of admission

4.1. Candidates may be admitted either on full-time or part-time basis.

4.2. Only those candidates who are employed on regular basis either internally in SDUAHER or in an external academic or research institution recognised as research centre by SDUAHER can be admitted on part-time basis.

4.3. Tuition fee shall be as per the policy of SDUAHER.

4.4. External candidates can be admitted on external part-time basis provided they submit/arrange the following:

- a) Memorandum of Understanding between employer and SDUAHER.
- b) Part-time candidate has to submit a “No Objection Certificate” from the appropriate authority of the organization where the candidate is employed, clearly stating that:
 - The candidate is permitted to pursue studies on a part-time basis.
 - His/her official duties permit him/her to devote sufficient time for research.
 - If required, he/she will be relieved from the duty to complete the course work.
 - Organization will assign a regular employee with necessary eligibility to function as co-supervisor to monitor the day to day research activities of the candidate.
- c) Co-supervisor from the place of employment.

4.5. In-service part-time Ph.D. scholars who are employees of SDUAHER cannot seek exemption from regular duty and other work/ (works) assigned by the reporting officer.

4.6. External part-time candidate shall be required to work under the research supervisor directly at least for 90 working days during the Ph.D. duration and attend course work compulsorily.

4.7. Part time Ph.D. scholar pursuing under full-time scheme may (with the approval of the Vice Chancellor) convert to part-time scheme provided he/she has completed 2 years in the full-time scheme and has published a minimum of one paper. In such a case of conversion, the minimum duration of the total Ph.D. programme shall be 4 years.

5. Admission procedure

5.1. Admission shall be based on the entrance test conducted by the SDUAHER.

5.2. The Academy shall notify a prospectus well in advance on the institutional website and through advertisement in at least two national newspapers, of which at least one shall be in the regional language about the number of seats for admission, subject/discipline-wise distribution or available seats, criteria for admission, procedure for admission, and examination centre where the entrance test shall be conducted and all other relevant information for the benefit of the candidates.

5.3. Adhere to the National/State level reservation policy, as applicable.

5.4. The entrance test syllabus shall consist of 50% of research methodology, and 50% of subject specific.

5.5. Students who have secured 50% marks in the entrance test are eligible to be called for the interview. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/ (Non-creamy layer) Differently-Abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the commission from time to time.

5.6. Provided that for selection of candidates based on the entrance test conducted by SDUAHER, the weightage shall be 70% for the entrance test and 30% for the performance in the interview/*viva voce*.

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

- The candidate possesses the competence for the proposed research
- The research work can be suitably undertaken at the institution/college
- The proposed area of research can contribute to new/additional knowledge

5.8. Admission of students who qualify for fellowship/scholarship in UGC-NET/UGC- CSIR NET/ GATE/ CEED and similar National level tests shall be based on the interview alone. These students are exempted from the written entrance test.

5.9. SDUAHER may decide the number of eligible students to be called for an interview based on the number of Ph.D. seats available.

5.10. The academy shall maintain the list of all the Ph.D. registered students on the website every year. The list includes the name of the registered candidate, topic of his/her research, name of his/her supervisor/co-supervisor, date of enrolment/registration.

6. Admission of International students

6.1. Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in section 7. The selection procedure for Ph.D. admission of international students shall be same as that of the regular full time candidates.

7. Recognition of research supervisor

7.1. Application for recognition as research supervisor for Ph.D. Programme (Annexure 1)

7.2. Only permanent faculty shall be recognized as research supervisor. Adjunct faculty and faculty at other institutions shall serve only as co-supervisor. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university would be in violation of these regulations.

7.3. The eligibility criteria and permissible number of students per supervisor at any given time shall be as given in the table below.

Designation	Eligibility criteria		Maximum intake
	Faculty of Medicine (NMC Regulations)	Faculty of Allied Health and Basic Sciences	
Professor	Minimum of 15 years teaching and research experience after PG degree, and a minimum of 10 years PG teaching experience as faculty member. In addition, 5 research articles in UGC approved journals (PubMed/ Scopus/ Web of Science/ UGC CARE List).	Ph.D. degree with 5 research articles in UGC approved journals (PubMed/ Scopus/ Web of Science/ UGC CARE List).	Eight
Associate Professor	Not eligible	Ph.D. degree with 5 research articles in UGC approved journals (PubMed/ Scopus/ Web of Science/ UGC CARE List)	Six
Assistant Professor	Not eligible	Ph.D. degree with 3 research articles in UGC approved journals (PubMed/Scopus/ Web of Science/ UGC CARE List)	Four

At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor shall not exceed the number prescribed in the above table.

8. Allocation of research supervisor

- 8.1. Research supervisor shall be allocated to the newly admitted Ph.D. student based on the recommendation of the head of the department and the approval of the dean; 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*.
- 8.2. In case of interdisciplinary/multidisciplinary research work, if required, a Co-supervisor from outside the Department/Faculty/University may be appointed. This shall be based on the recommendation of the research supervisor and the approval of the respective deans.
- 8.3. Co-supervisor from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
- 8.4. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- 8.5. The Ph.D. scholar shall be reallocated with a new research supervisor if the existing teacher (a) leaves the service of SDUAHER, (b) attains superannuation, or (c) becomes unavailable for more than six months due to leave of absence, illness, or death.
- 8.6. A teacher leaving the service of SDUAHER or attaining superannuation may be continued as research supervisor for six months if the Ph.D. scholar has submitted the final synopsis.
- 8.7. If the Ph.D. scholar wishes to change supervisor or vice versa due to unavoidable reasons, mutual consent and a no objection certificate from both the parties must be given, then change of supervisor will be considered. The final decision, however, will be made by an adhoc committee chaired by the Vice Chancellor.
- 8.8. Ph.D. scholar on completion of two years of his/her research work under the guidance of supervisor and when such supervisor is transferred to other area, Co-supervisor of the scholar can supervise the scholar with the permission of the Academy and he/she shall act as supervisor to such Ph.D. scholars.

8.9. In case of relocation of a female Ph.D. 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 and the research work does not pertain to a project sanctioned to the parent institution/ supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.

8.10. SDUAHER shall maintain a list of Ph.D. supervisors (specifying the name of the supervisor, his or her designation, and the department/faculty/centre) to update this list every academic year.

9. Leave entitlement

9.1. Only the leave entitlement of the regular full time Ph.D. scholar shall be covered by these regulations. Leave entitlement of part-time Ph.D. scholar shall be as per the service rules of the employer.

9.2. All leaves shall be administered and recorded at the department level based on the recommendation of the research supervisor and sanctioned by the head of the department and approved by the respective deans.

9.3. Regular full time Ph.D. scholar shall be eligible for 12 days of casual leave and 30 days of study leave per year. Study leave shall be used for attending conference/ workshop/ training programme/ collaboration/ observer-ship/ usage of research facility at an external institution/centre.

9.4. All unauthorized leaves and any leaves in excess of the stipulated number shall be treated as 'leave without pay'.

9.5. Female Ph.D. scholar shall be provided Maternity Leave/Child Care leave for up to 240 days in the entire duration of the Ph.D. programme. This leave of absence will be excluding minimum duration of Ph.D. programme and treated as leave without pay for stipendiary purpose.

10. Stipend

10.1. A monthly stipend of Rs. 15,000/- (Rupees fifteen thousand only) in the first year, Rs. 17,500/- (Rupees seventeen thousand five hundred only) in the second year and Rs. 20,000 (Rupees twenty thousand only) during last year (3rd year) shall be paid to a regular full time Ph.D. scholar for a period of three years. Part-time Ph.D. scholars are not eligible for stipend.

- 10.2. Head of the department shall send duly verified and certified attendance extract of the full-time scholar to the Registrar, SDUAHER through respective deans.
- 10.3. The release of stipend shall be linked to the progress of the work.
- 10.4. If two consecutive six monthly progress reports are not satisfactory, stipend will be withheld for six months until next doctoral advisory committee's satisfactory report.

11. Duties of the Ph.D. scholar

- 11.1. Ensure compliance to calendar of events issued by the appropriate authority of SDUAHER.
- 11.2. Maintain a log book and record research and academic activities with due verification from the research supervisor.
- 11.3. Discuss research and academic activities with the research supervisor or co-supervisor at least once a week and record the meeting in the log book.
- 11.4. Attend relevant academic programmes like guest lectures, workshops, conferences, training programmes held in the campus and record the attendance in the logbook.
- 11.5. Attend in time and actively participate in the public defence and *viva voce* of other Ph.D. scholars.
- 11.6. All Ph.D. scholars must present a minimum of one seminar and journal club per month in the department and record the details in the logbook. The topic/paper of presentation should be related to the thesis work and approved by the research supervisor.
- 11.7. Log book should be handed over to the head of the department at the time of thesis submission.
- 11.8. If a part time Ph.D. scholar employed in SDUAHER leaves the Academy after submitting the resignation letter, his/her registration stands cancelled. The entire material and log book (s), have to be submitted to the supervisor/ co-supervisor.

12. Course work

- 12.1. The credit requirement for the Ph.D. course work is a minimum of 12 credits, including a “Research and Publication Ethics” course as notified by UGC vide D.O. No. F.1- 1/2018(Journal/CARE) in 2019 and a research methodology course. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 12.2. The course work comprises of two papers:
- a. **Paper I** (Research Methodology) of 6 credits (90 hours) including Research and Publication Ethics” course prescribed by UGC (**Annexure 2**).
 - b. **Paper II** (Area of Specialization) of 6 credits (90 hours) prepared by the Research Supervisor and approved by the Doctoral Research Advisory Committee.
- 12.3. Pre-Ph.D. examination shall be conducted at the end of the course work to assess the outcome. Each paper shall be for a duration of three hours and carry 100 marks each. Each paper shall be evaluated by an internal examiner and an external examiner. Research supervisor shall be the internal examiner for Paper II (area of specialization).
- 12.4. A Ph.D. scholar must have 75% attendance in each paper of the course work. A Ph.D. scholar must obtain a minimum of 50% marks in each paper and 55% marks in aggregate or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his/her thesis.
- 12.5. In case, the Ph.D. scholar 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 failed paper by paying the requisite fee within six weeks of the announcement of the Pre-Ph.D. examination results. If the Ph.D. scholar is not successful in the second attempt also, then his/her admission shall stand cancelled.
- 12.6. Ph.D. scholar has to complete the course work within one year from the date of admission. Otherwise, his/her admission shall stand cancelled.
- 12.7. All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching/ education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholar can undergo training through courses offered by the University Center for Health Profession Education of

SDUAHER or any UGC approved platform such as Swayam and submit copy of the certificate. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial/practicals/laboratory work and evaluations for Faculty of Medicine and Faculty of Allied Health and Basic Sciences students in their respective departments.

13. Doctoral Research Advisory Committee

13.1. There shall be a Doctoral Research Advisory Committee (DRAC) for each scholar whose composition (**Annexure 3**) shall be as below:

- Research Supervisor Member and Convener
- Co-Supervisor Member
- External Subject Expert Member
- Head of the Department Member

13.2. The external subject expert shall be a recognized research supervisor at his/her institution. The external subject expert shall be recommended by the research supervisor. In event, the research supervisor allocated to a scholar is changed, and then the new research supervisor may recommend a new external subject expert.

13.3. The committee shall have the following responsibilities:

- a. To review the research proposal (**Annexure 4**) and finalize the topic of research
- b. To guide the Ph.D. scholar to develop the study design and methodology of research and identify the course (s) that he/she may have to do.
- c. To periodically review and assist the progress of the research work of the research scholar.
- d. To approve any changes in the title or content of the research proposal.

13.4. The research supervisor shall submit the evaluative report of the Ph.D. scholar's progress to the Ph.D. Programme Coordinator in the prescribed format (**Annexure 5**) before the due date (as per calendar of events). A copy of the report shall also be given to the scholar with due acknowledgement.

13.5. Each semester, the Ph.D. scholar shall appear before the DRAC to make a presentation of the progress of his/her work for evaluation and further guidance. The research scholar shall submit a comprehensively written half yearly progress report (**Annexure 6**) to the DRAC before the meeting. The half yearly progress report shall be filed in the department.

13.6. The supervisor shall convene the meeting as per the availability of the members. There shall be no scope for leave of absence. The meeting may be conducted by online/ offline mode.

13.7. In case the progress of the research scholar is unsatisfactory, the DRAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DRAC may recommend to SDUAHER with specific reasons for cancellation of the registration of the research scholar from the Ph.D. programme.

13.8. If three consecutive half yearly progress reports are not satisfactory, the Doctoral Research Advisory Committee may recommend the Academy for cancellation of the registration.

13.9. All Ph.D. scholars have to get ethics clearance from Central Ethics Committee as per the Research and Department Cell regulations, SDUAHER.

14. Change of title of research

14.1. Ph.D. candidate can partially modify the title of his/her proposed research proposal/thesis research work under extraordinary circumstances on prior permission from the research supervisor and Doctoral Research Advisory Committee and approval by Vice-Chancellor.

15. Thesis submission and evaluation

15.1. Upon satisfactory completion of course work, and obtaining marks/grade prescribed in section 12.4, the Ph.D. scholar shall be required to undertake research work, approved by Central Ethics Committee and produce a draft thesis in the form of an abstract/final synopsis.

15.2. Before submitting the thesis, the Ph.D. scholar shall present the final synopsis before the DRAC in the department, which shall also be open to all faculty members and other research scholars/students. The feedback and comments/suggestions obtained from them may be suitably incorporated into the final synopsis/ thesis in consultation with the Doctoral Research Advisory Committee.

15.3. The Ph.D. scholar can submit the final synopsis only if the following criteria are satisfied:

- Final synopsis is approved by the DRAC

- Published a minimum of one original article as first author from the thesis work in a journal indexed in PubMed/Scopus/ Science Citation Index/UGC CARE List
- Presented two (oral/poster) of the thesis work (part/whole) in a minimum of two conferences/workshops
- Underwent training in teaching/education/pedagogy/writing related to their chosen Ph.D. subject (Certificate has to be enclosed).

15.4. The Ph.D. scholar can submit the final synopsis after the completion of the minimum programme duration. The final synopsis should be submitted in the prescribed proforma (**Annexures 7, 8 and 9**) along with the necessary enclosures.

15.5. The Controller of Examination, with the approval of the Vice Chancellor, shall forward the final synopsis to two external examiners (one from outside the state) selected from the list sent by the research supervisor seeking their concurrence to review the thesis. On receipt of the concurrence, the Controller of Examination will permit the Ph.D. scholar to submit the thesis within three months.

15.6. Thesis should be subjected to plagiarism check by the appropriate authority notified by the SDUAHER, and a copy of the “Plagiarism Check Certificate” issued by the appropriate authority should be enclosed in the thesis. No penalty if similarities are up to 10%.

15.7. A Ph.D. scholar shall submit the thesis for evaluation, along with (a) an undertaking from the Ph.D. scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

15.8. Thesis should be organized as follows:

- a. Thesis cover page (**Annexure 10**)
- b. Declaration by the Ph.D. scholar (**Annexure 11**)
- c. Certificate from the Research Supervisor (**Annexure 12**)
- d. Copy of DRAC composition (**Annexure 3**)
- e. Plagiarism check certificate
- f. Copy of ethics committee clearance letter
- g. Research work in a format approved by DRAC
- h. Recommendations to the general public and public policy
- i. References in Vancouver style
- j. List of publications and presentations arising from the thesis work

- k. Appendix (if applicable)
- l. Master chart (if applicable)

- 15.9. The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in the employment of SDUAHER. Such examiner (s) should be academician (s) with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The *viva voce* board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The *viva voce* shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students.
- 15.10. A scholar has to submit two spiral bound thesis copies to Controller of Examination office along with CD.
- 15.11. The *viva voce* of the Ph.D. scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. After incorporation, three (03) thesis hard bound copies have to be submitted through Centre for Ph.D. Programs to Controller of Examinations Office. If one of the external examiners recommends rejection, the Controller of Examination shall send the thesis to an alternate external examiner from the approved panel of examiners, and the *viva voce* examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected, and the Ph.D. scholar shall be declared ineligible for the award of a Ph.D. degree.
- 15.12. The Controller of Examination shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the *viva voce* result, within a period of six (6) months from the date of submission of the thesis.
- 15.13. One Academy representative nominated by Controller of Examination as observer shall submit a report on proceedings of *viva voce* examination to the Controller of Examination.
- 15.14. The Controller of Examination shall issue a provisional certificate after *viva voce* evaluation, to the effect that the Ph.D. is being awarded in accordance with the provisions of these regulations and will be valid until next convocation.

15.15. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree (s), SDUAHER shall submit an electronic copy of the Ph.D. thesis to INFLIBNET, for hosting the same as to make it accessible to all the Higher Educational Institutions and research institutions.

16. Concurrence with UGC regulations

16.1. The Ph.D. programme offered by SDUAHER shall be in concurrence with the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022 dated 7th November 2022 and its amendments thereof. In case of omission or ambiguity in these rules and regulations of SDUAHER, the provisions of the UGC regulations shall prevail.

ADDENDUM

Letter No: SDUAHER/KLR/ADMN/237/2024-25, date: 18-04-2024

8. Allocation of research supervisor

8.1 Research supervisor has to compulsorily identify/submit the name of Co-supervisor for the Ph.D. scholar from the parent department or any other department of the Academy related to thesis work.

13.10 The eligibility criteria of co-supervisor are same as that of the supervisor as mentioned in the SDUAHER Regulations governing Doctor of Philosophy Policy 2023. After discussions the same was agreed by the members of the Board.

17. Discontinuation from Ph.D. program

17.1 If a Ph.D. scholar discontinues the program for any reason, he/she has to submit a letter stating that the research work will not be continued at any other research institute or university.

17.2 If a Ph.D. scholar discontinues the Ph.D. program in the beginning or middle of the year for any reason, he/she has to pay the annually tuition fee as per the calendar of events for that year.

ADDENDUM

- Ref: 1. Proceedings of the 49th Academic Council meeting held on 19th Aug. 2024.**
2. Proceedings of the 80th Executive Council meeting held on 8th Oct. 2024.
3. Notification No: SDUAHER/KLR/ADMN/2867/2024-25 dt: 9th Nov. 2024.

As per the proceedings cited in the above references (1&2) and further to the Notification (3) the Academy has approved the re-registration policy.

The revised policy for the re-registration is as follows:

1. The minimum and maximum duration for completing the Ph.D. program are specified in programme duration point number 3 of Ph.D. regulations 2023.
2. The scholar should apply for re-registration within one month after the last date of maximum duration, by providing valid reasons for not completing the thesis, which should be approved by the respective Doctoral Research Advisory Committee (DRAC).
3. Upon re-registration, the scholar must complete Ph.D. defense within two years. The total duration for completing the Ph.D. program, including re-registration, shall not exceed eight years from the date of admission.
4. The re-registration application must be accompanied by the prescribed re-registration fee, Rs. 50,000/- (fifty thousand only) along with an annual fee for two years, as applicable as per the regulations.
5. The Vice-Chancellor may approve the re-registration request based on the merit of the case, and recommendation made by the respective DRAC.
6. If re-registration does not occur within one month after the last date of maximum duration (maximum period of six years) and the scholar does not complete Ph.D. defense within two years after re-registration, then Ph.D. registration stands cancelled.



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ANNEXURE 1

Application for recognition as Ph.D. Research Supervisor

1	Name			
2	Age and date of birth			
3	Designation			
4	Department			
5	Faculty			
6	Mobile number			
7	E-mail ID			
8	Qualification	Degree*	Year of passing	Name of the University
		MD/MS/Ph.D.		

* Enclose degree certificate for documentation

Teaching experience after obtaining MD/MS qualification: (Not applicable for Ph.D. degree holder)

Designation	Name of the Institution	Period	
		From	To
<i>Teaching experience</i> (Minimum requirement of 15 years of teaching/research experience after PG degree of which minimum 10 years shall be as PG teacher)			
As UG teacherYears		As PG teacher Years	

Enclose teaching experience certificate.

10. Publication record:

Note:

- a. *List only if the publication is in PubMed, Scopus or Web of Science indexed or UGC CARE listed journal. Indexation should be valid at the time of publication.*
- b. *List only primary research publications (original articles, short communications and case reports). Do not list other categories of publications like review articles, letters to editors, and conference abstracts.*

Sl. No.	Title	Authors	Journal and citation	Indexation	Type
1				Note (a)	Note (b)
2					
3					
4					
5					

Signature of applicant	Signature of HoD	Signature of Dean
Date:	Date:	Date:

ANNEXURE 2

Syllabus for Pre-PhD Course Work Paper 1: Research Methodology (6 credits = 90 hours)

Unit A: Research planning (14 hours)

1. Research hypothesis and research question (2 hours)

- Significance of hypothesis
- Concept of research question
- Refining research question - SMART -Specific Measurable Attainable Relevant Time constraint
- PICO model - Definition of Population, Intervention, Comparison and Outcomes

2. Review of literature (4 hours)

- Need for Review of Literature
- Performing electronic literature search (PubMed, EMBASE, IndMed, Cochrane)
- Medical journals / text books
- Use of Boolean operators, keywords and filters
- Bibliography (reference writing styles)
- Systematic review and Meta-analysis

3. Study designs for biomedical research (8 hours)

- Preclinical studies
- International Conference on Harmonization (ICH) - Good Clinical Practice (GCP), Good Laboratory Practice (GLP)
- Pilot study
- Observational studies (analytical - case control cohort, descriptive - cross sectional)
- Experimental studies (Randomised Clinical Trials (RCT) and Non RCT)
- Clinical trials, phases of clinical trials, blinding, randomization

Unit B: Statistical analysis (12 hours)

1. Sampling and sample size calculation (4 hours)

- Different types of sampling (like cluster, stratified, purposive)
- Methods of estimating sample size

2. Data Analysis (8 hour)

- Data – variables, scales
- Choosing a statistical test – descriptive and inferential
- Parametric tests
- Non-parametric tests
- Post hoc tests
- Correlation and Regression
- Data interpretation
- Use of SPSS and other statistical packages

Unit C: Scientific writing (20 hours)

1. Protocol writing/ Research proposal writing (4 hours)

2. Thesis writing (4 hours)

3. Scientific communication (6 hours)

- Structure of scientific paper, Abstract, Title, Introduction, Methods, Results, Discussion (IMARD)
- How to write good scientific paper?
- Paper presentation at conference

4. Critical appraisal of a journal article (2 hours)

5. Grant writing for extramural funds (4 hours)

Unit D: Scientific evidence (4 hours)

1. Levels of scientific evidence (2 hours)

2. Evidence-based medicine (2 hours)

Unit E: Biomedical research ethics (10 hours)

1. Ethics in human research (6 hours)

- Nuremberg code
- Declaration of Helsinki
- Belmont principles
- Patient information sheet and informed consent form
- Institutional Ethics Committee

2. Ethics in animal research (4 hours)

- Institutional Animal Ethics Committee
- Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA) guidelines

Unit F: Research and publication ethics (30 hours)

(Note: This unit is designed and prescribed by UGC)

1. Philosophy and ethics (3 hours)

- Introduction to philosophy: definition, nature and scope, concept, branches
- Ethics: definitions, moral philosophy, nature or moral judgement and reactions

2. Scientific conduct (5 hours)

- Ethics with respect to science and research
- Intellectual honesty and research integrity
- Scientific misconduct: Falsification, Fabrication, and Plagiarism (FFP)
- Redundant publications: duplicate and overlapping publications, salami slicing
- Selective reporting and misrepresentation of data

3. Publication ethics (7 hours)

- Publication ethics: definition, introduction and importance
- Best practices/standard setting initiatives and guidelines: Committee on Publication Ethics (COPE), World Association of Medical Editors (WAME).
- Conflict of interest
- Publication misconduct: definition, concept, problems that lead to unethical behaviours and vice versa, types.
- Violation of publication ethics, authorship and contributor ship
- Identification of publication misconduct, complaints and appeals
- Predatory publishers and journals

These subunits shall be conducted as practicals/ hands-on workshop (15 hours):

1. Open access publishing (4 hours)

- Open access publications and initiatives
- SHERPA/RoMEO online resource to check publisher copyright and self-archiving policies
- Software tool to identify predatory publications developed by Savitribai Phule Pune University
- Journal funder/journal suggestion tools viz., JANE, Elsevier Journal Finder, Springer, Journal Suggester, etc.

2. Publications misconduct: group discussion (2 hours)

- Subject specific ethical issues, FFP, authorship
- Conflict of interest
- Complaints and appeals: examples and fraud from India and abroad

3. Publications misconduct: software tools (2 hours)

- Use of plagiarism software like Turnitin, Urkund and other open source software tools.

4. Databases (4 hours)

- Indexing databases
- Citation databases: Web of Science, Scopus etc.

5. Research metrics (3 hours)

- Impact factor of journal as per Journal Citation Report, SNIP, SJR, IPP, Cite Score
- Metrics: h-index, g index, i10 index, althmetrics

References:

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3. Statistical Methods in Medical Research. P. Armitage, Wiley India, 4th eds, 2017.
4. How to write a Scientific Paper: An Academic Self-Help Guide for PhD students. Jari Saramaki, Amazon Digital Services, ISBN number 173078416X, 9781730784163, 2018.
5. National Ethical Guidelines for Biomedical and Health Research involving Human Participant. Indian Council of Medical Research, New Delhi, 2017
6. Compendium of CPCSEA 2018. Available at:
<http://cpcsea.nic.in/WriteReadData/userfiles/file/Compendium%20of%20CPCSEA.pdf>
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9. P. Chaddah, (2018) Ethics in Competitive Research: Do not get scooped; do not get plagiarized, ISBN:978-9387480865
10. National Academy of Sciences, National Academy of Engineering and Institute of Medicine. (2009). On Being a Scientist: A Guide to Responsible Conduct in Research: Third Edition. National Academies Press.
11. Resnik, D.B. (2011). What is ethics in research & why is it important. National Institute of Environmental Health Sciences, 1-10 Retrieved from <https://www.niehs.nih.gov/research/resources/bioethics/whatis/index.cfm>
12. Beall, J. (2012). Predatory publishers are corrupting open access. Nature, 489(7415), 179- 179. <https://doi.org/10.1038/489179a>
13. Indian National Science Academy (INSA), Ethics in Science Education, Research and Governance (2019). ISBN: 978-81-939482-1-7.
[http://www.insaindia.res.in/pdf/Ethics Book.pdf](http://www.insaindia.res.in/pdf/Ethics%20Book.pdf)



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ANNEXURE 3

Constitution of Doctoral Research Advisory Committee (Proforma)

DATE:

NOTE

The following Doctoral Research Advisory Committee is constituted for advising and monitoring the research work of [Name of the Ph.D. scholar; Register number] in the Department of [Name] under the Faculty of [Name].

1. Name and designation of the research supervisor:
2. Name and designation of the co-supervisor (if any) with designation and affiliation:
3. Name of the external subject expert with designation and affiliation:
4. Head of the Department (ex-officio member)

Signature of the HoD

Signature of the Dean

Copy to:

1. Ph.D. Scholar
2. Ph.D. Programme Co-ordinator
3. Department file



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ANNEXURE 4

Research proposal (Proforma)

1. Name of the Ph.D. scholar
2. Register number
3. Department of registration
4. Name of the research supervisor
5. Title of the research proposal
6. Review of recent literature supporting the need for the study/lacunae
7. Research question/Hypothesis
8. Aim and objectives of the study
9. Material and methods
10. Expected outcome/significance of the study
11. List of references in Vancouver style
12. Date and signature of the Ph.D. Scholar
13. Date and signature of the Research Supervisor
14. Date and signature of the Co-Supervisor
15. Date and signature of the Head of the Department



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ANNEXURE 5

Evaluative Report of the Doctoral Research Advisory Committee (Proforma)

Name of the Ph.D. Scholar	
Register number	
Report number	
Date of the meeting	
Remarks of the committee: <ol style="list-style-type: none">1. List the suggestions for implementation before next review meeting2. Affirm whether the overall progress is satisfactory or not3. If not satisfactory, elaborate the gaps and suggest corrective action4. For final synopsis meeting, affirm whether the same is approved and list the suggestions to be incorporated in the thesis.	
Research supervisor	
Co-supervisor	
External subject expert	
Head of the Department	



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ANNEXURE 6

Progress Report (Proforma)

1. Name of the Ph.D. scholar
2. Register number
3. Department of registration
4. Name of the research supervisor
5. Title of the research proposal
6. Brief summary of the research proposal
7. Advances in scientific literature during the review period (if any)
8. Summary of research work undertaken during the review period along with
Tables/Figures/Graphs
9. Interim analysis of the preliminary results and its implications
10. Plan of action for the next review period
11. List of seminar or journal club presented by the Ph.D. scholar
12. Date and signature of the Ph.D. Scholar
13. Date and signature of the Research Supervisor
14. Date and signature of the Co-Supervisor
15. Date and signature of the Head of the Department



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ANNEXURE 7

Final synopsis of the Ph.D. thesis (Proforma)

1. Name of the Ph.D. scholar
2. Register number
3. Department of registration
4. Name of the research supervisor
5. Title of the research proposal
6. Aim and objectives of the study
7. Material and methods
8. Main findings and their implications
9. Recommendations to the general public and public policy
10. List of references in Vancouver style
11. Date and signature of the Ph.D. Scholar
12. Date and signature of the Research Supervisor
13. Date and signature of the Co-Supervisor
14. Date and signature of the Head of the Department

Note:

Final synopsis should be a brief summary not exceeding five pages



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ANNEXURE 8

No Due Certificate (Proforma)

Name of the Ph.D. Scholar :

Register number :

Department of registration	
Finance section of the Academy	
University Library Learning Resource Centre	
Hostel	



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ANNEXURE 9

Application for permission to submit thesis (Proforma)

DATE:

From:

Name of the Ph.D. Scholar
Register number
Department of registration

To:

The Controller of Examination
SDUAHER-Kolar

Through the proper channel

Sir/Madam,

Sub: Application for permission to submit thesis

I have fulfilled all the requirements for the submission of Ph.D. as per the **Rules and Regulations governing Ph.D. Programme in SDUAHER of 2022**. I have enclosed the supporting documents. Kindly permit me to submit the thesis.

Name of the research supervisor		
Name of the co-supervisor		
Title of the thesis		
Following documents are enclosed:		
a) Two copies of the final synopsis along with soft copy in CD.		
b) Report of the Doctoral-Research Advisory Committee approving the final synopsis of the thesis work after the presentation in an open seminar in the department.		
c) Reprint/galley proof for a minimum of one first author research article from thesis work in Scopus/PubMed/Science Citation Index/UGC approved journal (also enclose primary proof of indexation).		
d) Certificates or abstracts of two presentations (oral/poster) in conferences.		
e) Copies of certificate for training in teaching/pedagogy/education/writing.		
f) No dues certificate in the prescribed format.		
g) Panel of Ten external examiners attested by research supervisor in a sealed envelope.		
Items (b) to (d) to be enclosed as annexures in the final synopsis booklet		
Date and signature of the Ph.D. Scholar	Date and signature of the research supervisor	Date and signature of the HoD

ANNEXURE 10

[Title of the thesis]

Thesis submitted by
[Name of the Ph.D. scholar] [Register no]

for the award of Doctor of Philosophy degree
based on the research carried out in the Department of **[Name]** under the Faculty of
[Name]

[Academy Logo]

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Note:

Font type/size and the overall layout may be decided by the Ph.D. scholar in concurrence with the research supervisor.

ANNEXURE 11

Declaration by the Ph.D. Scholar

I, [Name of the Ph.D. scholar] [Register number] hereby declare that the work presented in this thesis is original and does not contain any fabrication. This research work was carried out by me under the supervision of **[Name of the supervisor]** in the Department of **[Name]** under the Faculty of **[Name]** in Sri Devaraj Urs Academy of Higher Education and Research. Furthermore, I have not plagiarised any part of the thesis. Where necessary, I have borrowed material from other authors/researchers and given appropriate credit to them through reference citation or acknowledgement. I also declare that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

Signature of the Ph.D. scholar

Date:

Place:

ANNEXURE 12

Supervisor's Certificate

This is to certify that that the research work presented in this thesis is original and does not contain any fabrication or plagiarism. Furthermore, this thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.

Signature of the Research Supervisor

Date:

Place: