

SRI DEVARAJ URS UNIVERSITY

RULES AND REGULATIONS CONCERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D) PROGRAMME IN HEALTH SCIENCES

1. PREAMBLE

Sri Devaraj Urs University is committed to encourage research activities involving local, national and global issues in Health sciences and develop manpower for the purpose.

2. ELIGIBILITY FOR ADMISSION TO Ph.D. COURSES

Candidates who have obtained a Masters Degree in the concerned subject from a recognized University. The Medical graduates should have obtained M.D., M.S. or any other equivalent degree recognized by the Medical Council of India (MCI), in the concerned subject. In the case of pre clinical and para clinical subjects non-medical graduates with M.Sc. in Anatomy/Physiology/Biochemistry/Microbiology/Pharmacology under medical faculty as recognized by MCI are also eligible.

3. RECOGNITION OF THE DEPARTMENT AS A CENTRE FOR Ph.D. STUDIES

The postgraduate department which is recognized by MCI for running the post graduate degree programme with adequate infrastructure and with guides recognized by Sri Devaraj Urs University may be recognized by the University for conducting the Ph.D. programme. The concerned department may have extra mural tie-up with another institution for expertise and infrastructural support such as equipments.

4. RESEARCH GUIDE

Any senior teacher / Scientist with 5 years of teaching / research experience after obtaining postgraduate medical degree (MD/MS) or Ph.D. in the concerned subject and with two publications in peer reviewed national or international journals as first or second author is eligible to become a research guide.

The eligible teacher/scientist has to apply to the University on a prescribed format (Annexure) to be duly recognized by the Ph.D registration committee. A recognized guide after recommended by the Ph.D. registration committee can register under him only one candidate per year and he may have a maximum number of 3 candidates at any given time. A guide should not have completed 62 years at the time of registration of the candidate under him.

The candidate should have one co-guide duly recognized by the Ph.D. registration committee of the University in addition to the guide from the concerned speciality. Eligibility criteria to become a co-guide is similar to that of the guide, except that he/she could be either from the same speciality or a different speciality related to the topic of the candidate. The co-guide may be from a different institution.

CHANGE OF GUIDE

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 Ph.D Registration Committee of the University. 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 Ph.D. Registration Committee for its opinion. The decision of the on the recommendations of the Ph.D Registration Committee shall be final, for change of Guide.

5. DURATION

The duration of the Ph.D programme will be from the date of provisional registration to the date of submission of thesis.

The candidate can register for Ph.D. course either as a full time or as a part time research scholar.

- i. 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. The minimum duration of Ph.D course for the said full time Ph.D students shall be three years from the date of provisional registration.
- ii. 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 center 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. Such candidates should spend minimum of 45 days per year with their respective Guides which should be certified by the Guide. The minimum duration for such part time Ph.D students shall be 4 years from the date of provisional registration.

- iii. The maximum duration shall be seven years from the date of provisional registration for all categories i.e. for both full time and part time Ph.D students. All candidates should complete research work and submit thesis to the University within seven years from the date of provisional registration. There will be no provision for further extension of the period.
- iv. A candidate can shift over from full time to part time and visa versa provided he/she fulfills all the criteria laid down by the university and obtains prior permission from the Ph.D Registration Committee of the respective faculty.

6. Ph.D REGISTRATION COMMITTEE (DOCTORAL COMMITTEE)

The Ph.D Registration Committee will consist of :

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| i) | Vice Chancellor | - | Chairperson |
| ii) | Dean of faculty | - | Member |
| iii) | Director (R&D) of the University | - | Member |
| iv) | Head of the Department concerned | - | Member |
| v) | Chairperson, BOS concerned | - | Member & Convener |
| vi) | One External Expert not below the rank of Professor nominated by the Vice Chancellor | - | Member |

NOTE: In the absence of the Vice-Chancellor, the Dean shall preside over the Meeting.

The Ph.D. Registration Committee will scrutinize the applications and also the preliminary synopsis submitted by the candidate after having satisfied about his/her eligibility requirements and will recommend for the Provisional Registration to the University.

This committee will meet periodically to review the half yearly progress reports of the research work submitted by the candidates and recommend suitable suggestions/modifications, if any, until the candidate is granted confirmation of Registration and permission to submit of his/her final synopsis and thesis to the University.

The Committee will also scrutinize all the applications from the eligible teachers/scientists for recognition as Ph.D Guides and will recommend their names to the University if they are found eligible.

The committee is also empowered to take appropriate decision in all academic matters pertaining to Ph.D programmes such as change of title, change of Guide etc.

7. ENROLMENT FOR Ph.D courses

Application for enrollment to the Ph.D courses shall be invited every year around the months of May/June on dates to be notified by the University. A candidate may apply for admission to Ph.D to the Registrar, SDU in the prescribed application form obtainable from the University following newspaper/ website notification on payment of the prescribed fee for application form. Scrutiny and selection of candidates will take place by the end of month of June every year. Selected candidates will be granted provisional registration, for the Ph.D course commencing from January every year.

Procedure for Provisional Registration

A candidate applying for provisional registration shall submit the duly filled application form (as per the enclosed format – Annexure) along with the relevant documents within the stipulated period. The candidates shall furnish the following information:

- i. Qualifications and details of previous study and research, if any, (attested copies of the marks cards, degree/PG degree certificates and reprints, of publications if any to be furnished).
- ii. Broad field or interdisciplinary field in which candidate intends to do research, the subject of research may be wholly or partly be related to the main branch of the topic/ subject chosen for writing dissertation during Post Graduation in which the candidate has qualified.
 - (a) The candidates shall choose the topic in the branch in which the Guide is specialized and recognized by the University.
 - (b) The Guide shall propose the name of the candidate for Ph.D registration keeping in mind the branch in which he or she has specialized.
 - (c) For appointments, promotions etc., the prescribed qualifications and the norms of the respective Apex Bodies/ University shall prevail.
- iii.
 - (a) Name and address of the recognized Guide/Co-Guide under whom the candidate proposes to carry out research.
 - (b) Name of the Department and Institution where the candidate proposes to work and conduct research.

(c) Title and synopsis of the proposed Research work as per the format.

(d) In case of part-time research, the candidates in a recognized department shall forward application along with the consent of the Guide and a no objection certificate from the Head of the Department, and Head of the Institution while submitting the application.

(e) In case of full time or part-time research, for teachers in government or government approved institutions, the applications shall be forwarded through proper channel along with the consent of the Guide, Head of the Department, Head of the Institution and the Director of Medical Education.

8. PROCEDURE FOR SELECTION

All applications received by the University on or before the stipulated time and date shall be placed before the Ph.D Registration Committee of the respective faculty. The Committee shall then examine the applications and after satisfying itself about the eligibility requirements, conduct an interview for the candidates. Every candidates shall make a presentation of his/her Ph.D protocol along with /without his /her Guide before the Ph.D Registration Committee. The committee shall then recommend the names of the selected candidates to the Vice-Chancellor for provisional registration within three months from the last date notified for the receipt of applications, Provisional registration shall be effective from the date mentioned as the last date for payment of prescribed fees in the concerned specialty for the selected candidates. Fee once paid shall not be refunded.

The candidate registered for Ph.D course shall work in the University P.G. Departments or P.G. Departments, or in any recognized laboratory, hospital, of an affiliated college recognized for such purpose by the University in its jurisdiction.

No candidate shall, without the previous permission of the Ph.D registration committee join any other course of study or appear for any other examination conducted by the University or by any other University during the period of registration.

Permission of the candidate for making use of his research work in the Library such as Digitalization is also obtained at the time of provisional registration.

The selected candidates as well as candidates not selected will be intimated by post separately by the University. In all matters relating to selection, the selection committee can regulate its own procedures and the decision of the University shall be final. The University will not provide any stipend or financial assistance to the selected candidates.

9. CONFIRMATION OF PROVISIONAL REGISTRATION

The provisional registration of a candidate for pursuing Ph.D course to the award of Ph.D degree shall be confirmed only when he/she passes the Pre-Ph.D examination conducted by the University.

10. CANCELLATION OF REGISTRATION

The Registration of the candidates who fails to submit two subsequent half yearly progress reports inspite of reminders or for any valid reason as decided by the Ph.D Registration Committee or the respective Guide, will be cancelled.

However, if the Ph.D Registration Committee recommends, the candidate can re-register for Ph.D course, on payment of the re-registration fee as fixed by the University.

11. CHANGE OF TITLE OR FIELD OF RESEARCH

A Ph.D candidates can change the title of his proposed thesis or field of research work on prior permission from the Ph.D registration Committee and on payment of the prescribed fee to the University. Such candidates shall submit their thesis only after two years from the date of change of topic. They have to appear for pre Ph.D examination for both Paper I and II

12. SUBMISSION OF HALF YEARLY PROGRESS REPORTS

- a) After provisional registration, every candidate shall submit the half yearly progress reports regularly in three sets in the prescribed format (Annexure) through the Guide to the Registrar of the University with a copy to the Head of the Department concerned and the Head of the Institution. The half yearly progress report will be assessed by the subject experts of the Ph.D Registration Committee and their comments/ observations will be communicated to the concerned candidate and Guide.

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

- b) all 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.

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 time of inspection and examination.

- c) The Research project submitted by the candidates should have been cleared by the appropriately constituted Institutional Ethics Committee at college level (respectively for experiments on human subjects and / or animals) before the submission of the 1st progress report by the candidates.
- d) If two consecutive half yearly progress reports are not satisfactory, the Ph.D Registration Committee may recommend to the University for cancellation of the registration.

The candidate will be eligible to appear for the Pre Ph.D examination only after the completion of one year from the date of provisional registration provided his/her first half yearly progress report is found satisfactory. The provisional Ph.D registration of the candidate will be confirmed only after the candidate passes the Pre Ph.D examination.

13. PRE Ph.D EXAMINATION

- a) The scheme for Pre Ph.D examination to be conducted by the University shall be as follows:
 - i) Two written papers each of three hours duration and each carrying maximum of 100 marks.

PAPER I : Research Methodology related to the area of research.

PAPER II : Specialization Background to the topics of study (topics related to the specialized subject) under which the topic / area of research is undertaken.

- ii) A Viva-Voce examination carrying a maximum of 100 marks for candidates who have passed the theory examination.
- b) The syllabi for both papers for each candidate shall be prescribed by the Guide and should be approved by the subject experts of the Ph.D Registration Committee. The Syllabi prescribed by the Guide and approved by Subject experts for the two theory papers of Pre Ph.D examination, shall be notified and will be communicated to the Registrar of the University as well as to the candidate and to the concerned Guide, at least one month earlier to the examination after they are approved by the concerned committee.

c) **Conduct of pre Ph.D examination**

- a. The Ph.D Registration Committee along with the names suggested by the concerned Guides shall prepare an exhaustive panel of both external and internal examiners (internal from the University Department, external from outside the University) and through the Director R & D recommend the same to the Registrar and Vice Chancellor for approval. The

University/Registrar (E) will then constitute a Board of Examiners for the conduct of the Pre Ph.D examination.

- b. The Board of Examiners for the Pre Ph.D Examination consists of the following:
 - 1. Guide/Internal Examiner (Chairman)
 - 2. One external examiner chosen by the University.
- c. The Guide/Internal Examiner and External Examiner chosen by the Registrar (E) from the panel of examiners recommended by the Ph.D Registration Committee will set one paper each and send their respective question papers separately in a sealed cover to the Registrar (Evaluation) who will conduct the theory examination and send the answer scripts to the above examiners for valuation.
- d. There shall be double valuation of the answer scripts of paper-I and Paper-II by the same examiners who have set the question papers by the interchange of papers evaluated earlier by them. The marks lists shall be sent by the examiners directly to the Registrar (Evaluation).
- e. The viva voce examination shall be conducted after the candidate has passed in the theory papers by a panel consisting of :

The same two examiners (Internal and External) appointed by the University who have set the theory question papers and valued the answer scripts.

After the viva-voce examination, the marks shall be consolidated and sent to the Registrar (Evaluation) by the Chairman of the Board of Examiners for further consolidation and announcement of results.

- f. If the difference of the marks in the valuation between the external and the internal examiner exceeds 15% the concerned answer scripts will be valued by a third Examiner who will also be connected with the conduct of Viva-Voce examination. The third examiner may value the answer scripts first (if there are differences) on the same day on which the Board meets for the conduct of Viva-Voce examination. The marks awarded by the Board shall be sent to the Registrar (Evaluation) by the Chairman and the results will be announced according to the following grading system.

Grade	Result (inclusive of theory and Viva marks)
A	A student securing marks 75% and above should be declared have passed in the said examination with distinction
B	A student securing marks between 60 – 74% should be declared to have passed in the said examination
C	A student securing marks less than 60% should be declared to have failed in the said examination

However, the candidate should secure a minimum of 60% marks in each of the written papers as well as in the Viva-Voce examination.

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.

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.

14. SUBMISSION OF FINAL SYNOPSIS

All the Ph.D candidates should submit a final synopsis containing the summary of the research work done to the Ph.D registration Committee before submission of thesis. All Ph.D candidates before submitting their final synopsis shall present his/her research work before the Ph.D Registration Committee and subject experts, on a suitable date fixed by the University and should get approval for writing the final synopsis and thesis.

15. PUBLICATION OF RESEARCH PAPERS

All Ph.D candidates before submitting their Ph.D thesis to the University should have published a minimum of one research paper in any National or International indexed journal. The candidate should be the first author. Even a letter of acceptance from the publishers will be accepted.

16. SUBMISSION OF Ph.D THESIS

Each candidate for the award of Ph.D degree shall submit five copies of his/ her thesis not earlier than the prescribed minimum period and not later than the prescribed maximum period.

Accordingly, any candidate who has completed the minimum prescribed period and not less than three months before the expiry of the maximum period prescribed for submission thesis, may submit an application along with five copies of approved final synopsis of the thesis through the Guide, the Head of the Department and Head of the Institution, to the Ph.D Registration Committee for permission to submit the thesis. He/She shall also submit a copy of the final synopsis to the concerned Head of the Department/ Institution.

After the approval, four copies of the approved final synopsis shall be sent by the Ph.D Registration Committee to the Registrar (Evaluation), who shall proceed with the constitution of Board of examiners for the adjudication of the Ph.D thesis and keep it ready pending the submission of the thesis.

After the approval of the final synopsis and permission from the Ph.D Registration Committee, candidate shall submit with his/ her application, four copies of the thesis (also in the form of CD as well) embodying the details of the research carried out by him/ her within six months after the approval of synopsis.

A candidate should also submit along with his/her thesis.

- a) A certificate from the Guide/s under whom he/she worked to the effect that, 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.
- b) “No due certificates” from the Chairman/Head of the Department and Head of the Institution where he/she has worked and also from the University Librarian and from the Affiliation section of the University.
- c) Papers published by him/her, if any, embodying the results of investigation for the Ph.D Degree and also any other contributions to the knowledge of his/her subject or any cognate branch of the subject.

Under extraordinary circumstances affecting a student warranting extension of period of submission of thesis the student should submit an application to the Registrar through the Guide, who in turn will refer the same to the Ph.D Registration Committee for its opinion, which will be submitted to the Vice-Chancellor. The decision of the Vice-Chancellor in the matter shall be final.

17. ADJUDICATION OF Ph.D THESIS

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 recommended by the Ph.D Registration 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.

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 communications. External examiner appointed to adjudicate

the thesis shall send the report to the Director R&D within two months from the date of receipt of the thesis. Such reports should include:

1. 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.
2. 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 Director R & D of the University. These questions/comments should be made available to the candidate only before the commencement of the viva voce examination.
3. Definite recommendations as to:
 - a) 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.
 - b) 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).
 - c) The thesis should be revised and resubmitted for evaluation (revision required should be stated clearly by the examiner).
 - d) 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. 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.

If one of the examiners makes qualified recommendations with valid reasons (for eg., to resubmit the thesis after suitable modifications) Director R&D 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.

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

18. VIVA-VOCE EXAMINATION

After the thesis has been approved by all the examiners, a public defense of the thesis will be held as well as the viva voce examination will be conducted by the University on a suitable date. The topic, date, and time of public defense of thesis shall be announced by the University well in advance, so that the faculty members and others interested in the topic of the thesis can be present. Those attending the public defense who are not the members of board of examiners can also ask relevant questions to the candidate. The Board of examiners shall take into consideration the views and criticism, if any, of the faculty members and others participating in the public defense of the thesis. However, the result of the examination shall be decided solely by the members of the board of examiners.

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

- a. Guide / Chairperson
- b. Co-Guide
- c. 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.

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 (E) through Director, Research & Development.

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

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.

19. RESULTS

The candidate shall be declared for the award of the degree of 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.

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 (Evaluation) of the University.

20. AWARD OF Ph.D DEGREE

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.

21. PUBLICATION OF RESEARCH WORKS FROM THE THESIS

22. 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.