

# MAHARASHTRA UNIVERSITY OF HEALTH SCIENCES, NASHIK

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DIRECTION NO.: 01/2020

## PROCEDURE AND NORMS GOVERNING AWARD OF M.Phil. and Ph.D. DEGREE

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**WHEREAS**, The Maharashtra University of Health Sciences Act, 1998 (Maharashtra Act No X of 1999) (hereinafter referred to as "the said Act") has been passed by the State Legislature to establish the Maharashtra University of Health Sciences (hereinafter referred to as "the University") for the purpose of ensuring proper and systematic instruction, teaching, training and research in Modern Medicine and Indian System of Medicine and to have a balanced growth in the Health Sciences so also an uniformity in various courses in Medical faculty.

**AND WHEREAS**, as per sub-section (3) of section 6 of the said Act, all Colleges of Health Sciences previously affiliated to erstwhile non-Agricultural Universities in the State of Maharashtra, shall be deemed to be affiliated to the University;

**AND WHEREAS**, the Government of Maharashtra has re-affiliated Post Graduate and Ph.D. courses from previously affiliated erstwhile non-Agricultural Universities to the University as per the Ordinance No. IX /2005 dated the 31/10/2005;

**AND WHEREAS**, it has become necessary to prescribe norms or rules of procedure to undertake quality research in each branch of Health Sciences, leading to award of M.Phil. and Ph.D. degrees of the University;

**AND WHEREAS**, it is also necessary to regulate admission and registration of students for M.Phil. and Ph.D. degree by the University;

**AND WHEREAS**, the University Grants Commission has prescribed minimum standards and procedure for award of M.Phil. and Ph.D. Degrees by issuing, the U.G.C. (minimum standards and procedure for awards of M. Phil / Ph.D. Degree) regulations, 2016, notified in the Gazette of India, dated the 05<sup>th</sup> May 2016, as amended from time to time;

**AND WHEREAS**, the concerned Central Councils of Health Sciences have prescribed the norms for various M.Phil. and Ph.D. Courses;

**AND WHEREAS**, to prescribe the procedure regarding award of M.Phil. and Ph.D. Degrees is a subject matter of Ordinance, and at present there is no Ordinance

regarding award of M.Phil. and Ph.D. degrees is in force; and since, making of Ordinance is a time taking process;

**NOW, THEREFORE,** I Professor Dr. Deelip G. Mhaisekar, Vice-Chancellor of Maharashtra University of Health Sciences, in exercise of powers conferred upon me under sub-section (8) of section 16 of the said Act, issue the following Direction, namely:-

**1. Short Title and Commencement: -**

- a) This Direction may be called the Procedure and norms governing M.Phil. and Ph.D. degrees Direction, 2020.
- b) It shall come into force with effect from the date of its issuance.
- c) The previous Direction No. 04/2015, as amended in 2016, is hereby repealed. Notwithstanding such repeal, anything done or any action taken thereunder or in pursuance of the said Direction, shall continue to have effect and deemed to be done or taken under the corresponding provisions of this Direction.

**2.1 Definitions: - In this Direction, unless the context otherwise requires, -**

- i) 'Interdisciplinary Research or Interpathy research means research conducted by eligible Candidate between two or more disciplines or Departments of Health Sciences;
- ii) 'Guide or Research Supervisor' means the recognized Research Guide or Research Supervisor of the University or the erstwhile University to supervise the M.Phil. and Ph.D. Scholar for the research;
- iii) 'Co-Guide or Co-Research Supervisor' means Co-Guide or Co-Research Supervisor, who is an expert in the subject or the area related to the topic of the research Scholar either from the same specialty or from different specialty, from the same institution or a different institution having area of expertise related to the topic selected by the M.Phil. and Ph.D. Scholar;
- iv) 'Full-time M.Phil. and Ph.D. Scholar' means the Research Scholar who is being supported with or without a Fellowship or Scholarship, pursues research work only, leading to M.Phil. and Ph.D. degree as a Full-time Research Scholar, without performing any other job or assignment;
- v) 'Part Time M.Phil. and Ph.D. Scholar' means the Research Scholar who is already in service as a faculty member or employee or a scientist in the same Institutions or in a different Institution, or who pursues his research work leading to M.Phil. and Ph.D. degree as a Part Time Research Scholar in a M.Phil. and Ph.D. recognized Study Center by the University, in addition

to performing his other duties as teacher or scientist or administrator or such other duties, assigned to him;

vi) 'Section' means section of the said Act.

vii) Words or expressions used but not defined in this Direction shall have the same meanings, respectively, assigned to them in the said Act.

viii) 'Recognized Research Institute' or 'Research Centre' means the Research Institution and research center having infrastructure, teaching and / or research facilities at par with the norms prescribed by the University / UGC. These teaching health sciences Institutes (colleges) or research institutes (exclusive research laboratories) or institutes of National and international repute or affiliated health sciences Colleges recognized by the University for the purpose of conducting research by following due procedure prescribed from time to time.

## **2.2 Academic, administrative and infrastructure requirement to be fulfilled by Colleges / Institutes for getting recognition for offering M.Phil. / Ph.D. programmes:**

- i) The affiliated Colleges may be considered eligible to offer M.Phil. / Ph.D. programmes only if they satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities as per norms prescribed by the university / UGC.
- ii) The Post Graduate departments of Colleges, research Health Sciences laboratories of Government of India / State Government with at least Two Ph.D. qualified teachers / Scientists / other academic staff in the department concerned along with required infrastructure, supporting administrative and research promotion facilities as per the UGC Regulation shall be considered eligible to offer M.Phil. / Ph.D. programmes.
- iii) 'Recognized Research Institute' and 'Research Centre' fulfilling the norms defined under clause 2.1(viii) of the instant Direction shall also be considered eligible to offer M.Phil. / Ph.D. programmes.

## **3. Objectives: -**

- a) To award the Degrees of Master of Philosophy (M.Phil.) and Doctorate in Philosophy (Ph.D.), on regular basis, in any subject of Health Sciences, in the faculties of Medicine, Dentistry, Ayurved and Unani, Homoeopathy, Allied Health Sciences and Interdisciplinary subjects and more particularly

described in [Annexure-I](#) in any of the subjects, as may be specified and updated by the University, incorporating it in the list contained in the said Annexure, from time to time.

- b) To regulate the M.Phil. and Ph.D. work process and streamline the M.Phil. and Ph.D. research procedures.
- c) To strive to promote competitive merit and excellence as the sole guiding criterion in all research activities of M.Phil. and Ph.D. Scholar(s).
- d) To promote interdisciplinary or Interpathy research.

#### **4. Nomenclature of Degree: -**

After fulfilling all the requirements enumerated hereinafter, the Degree shall be awarded, namely, the Master of Philosophy (M.Phil.) or Doctor of Philosophy (Ph.D.), as the case may be, in the concerned discipline or subject. The degree certificate shall state the subject of the specialty and the name of the Faculty. The Scholar shall be eligible to get the Degree in the concerned faculty. The Scholar registered for M.Phil. and Ph.D. under interdisciplinary / interpathy research shall be eligible to get the concerned degree under interdisciplinary or interpathy faculty, even though there is no separately constituted interdisciplinary or interpathy faculty.

#### **5. Constitution of Board of Research: -**

- i) There shall be two Boards of Research, one for Medical, Dental and Allied faculties of Health Sciences and the other for Ayurved, Unani and Homoeopathy faculties, consisting of following members, namely, -
  - a) The Vice-Chancellor .....**Chairman**,
  - b) The Pro Vice-Chancellor .....**Member** or **Chairman**, in the absence of the Vice Chancellor, as the case may be,
  - c) Deans of the concerned Faculties.....**Member**,
  - d) Two Chairpersons of the concerned Board of Studies nominated by the Vice-Chancellor.....**Members**,
  - e) One Ph.D. Guide or Research Supervisor from the concerned faculty from affiliated College or recognized research institution, nominated by the Vice-Chancellor..... **Member**,
  - f) Two eminent Research Persons having minimum fifteen research publications in indexed / scientific journal(s) with ISSN number or Experts from National Research Institutions within the concerned faculty, who have published minimum ten Research Papers in the National or

International indexed / scientific Journal(s) with ISSN number, to be nominated by the Vice-Chancellor .....**Members**,

- g)** one eminent Statistician, nominated by the Vice-Chancellor.... **Member**,
- h)** The Registrar .....**Member Secretary**.

In absence of the Vice-chancellor or the Pro-Vice-Chancellor, the BOR shall elect the Chairperson for conduct of the meeting.

- ii)** For expert opinion on any relevant matter, in addition to the above designators, the Vice-Chancellor shall have power to appoint the experts on Board of Research, in the capacity of invitee-member(s).
- iii)** Tenure and Meetings of Board of Research. -
  - a)** The term of members of the Board of Research shall be co-terminus with the regular term of Board of Studies and shall be reconstituted after completion of the tenure,
  - b)** Provided that, the Vice-Chancellor shall have right to replace any member or reconstitute the Board of Research before completion of its tenure under special circumstances.
- iv)** Meetings of the Board of Research shall be held at least twice in a year.

#### **6. Duties of Board of Research: -**

- 1)** The Board of Research shall perform the following duties. -
  - a)** To recognize the M.Phil. and Ph.D. Guide or Research Supervisor,
  - b)** To formulate norms to recognize the Department or Institution or Centre for Research work leading to M.Phil. and Ph.D. Degree,
  - c)** To maintain the standards and quality of Research for M.Phil. and Ph.D. Course and to review them from time to time,
  - d)** To decide the educational and other qualifications for admissions to different M. Phil and Ph. D. degrees in different subjects,
  - e)** To prepare the list of teachers of internal and external examiners or referees, who are recognized as M.Phil. and Ph.D. Guides or Research Supervisors or P.G. Guides, who are eligible to be M.Phil. / Ph.D. Guides / Supervisors for onward submission under clause (a) of sub-section (5) of section 31 of the said Act, to the Committee.
  - f)** To decide about priority areas of research by incorporating the vision of country and to publish the list of areas of priority research,
  - g)** To perform any other duty, as may be assigned by Statute or Ordinance or Direction or Rules or Regulations, from time to time,

- h) To prepare Guidelines for checking plagiarism in the research work and to verify the same through plagiarism software or any other policy decided by the University, from time to time.
- i) To perform any other duty as may be assigned by the Vice-Chancellor or any appropriate authority of the University, from time to time, related with M.Phil. and Ph.D. course(s) or research program(s) of the University.

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

1) Subject-wise Research Advisory Committee shall be constituted at the M.Phil. and Ph.D. Research Center, as follows, namely: -

- (a) the Dean or Director or Principal, or his nominee, not below the rank of Professor, of the M.Phil. and Ph.D. Research Center.....**Chairman,**
- (b) three M.Phil. and / or Ph.D. recognized Guides or Research Supervisors of the concerned subjects of the Research Center..... **Members,**
- (c) Research Methodology Expert (amongst approved faculties from University Research Methodology Workshop, preferably from Community Medicine / Statistical background) ..... **Member.**

**Explanation:** - Wherever the Guide or Research Supervisor is not available for the concerned subject at the research center or Institution, in such case the research center or Institution shall include Guides or Research Supervisors of allied subjects, and if such Guides or Research Supervisors in Allied subjects are also not available, in such case, the research center or Institution shall invite three subject experts or senior teachers not below the rank of Associate Professor from other recognized research center or Institution.

- 2) the committee shall primarily advice to the provisionally registered M.Phil. and Ph.D. Scholars on the topic of research in consultation with M.Phil. and Ph.D. Scholar, Guide / Research Supervisor of the concerned M.Phil. and Ph.D. Scholar. The committee shall ascertain whether the topic is appropriate or valid for the purpose of M.Phil. and Ph.D. research work.
- 3) the committee may give suggestions to the M.Phil. and Ph.D. Scholar on the topic selected by him, and advise him to review the research proposal and finalize the topic of research and forward the same to the University for approval of the Board of Research,
- 4) to guide the research Scholar to develop the study- design and Methodology of research and identify the courses that he may require to pursue,

- 5) To review periodically and assist the Scholar in the progress of the research work undertaken by the research Scholar.

## **8. Research Guide or Research Supervisor: -**

### **8.1 The Eligibility Criteria of Research Guide or Research Supervisor: -**

- (i) The M.Phil. and Ph.D. Guide or Research Supervisor recognized by the erstwhile Universities in the Health Sciences disciplines shall be deemed to be recognized as Guide or Research Supervisor by this University: Provided that, such Guide or Research Supervisor shall complete six days training of Research Methodology Workshop from the Center recognized by the University or from the Institution of Medical Education Technology and Teachers Training Center, Nashik of the University or any other place recognized by the University. However, this six days training shall be exempted to such Research Guide or Research Supervisors who have published at least five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number.
- (ii) The Eligibility criteria of M.Phil. and Ph.D. Guide or Research Supervisor for all faculties under the Health Sciences disciplines shall be as under, -

### **Full time regular teachers with Post Graduate Qualification:**

- a) For Medical Faculty:** any Full time regular teacher who have minimum fifteen years of approved teaching experience, as Assistant Professor and above, after obtaining a Post Graduate degree, out of which, minimum ten years as a Post Graduate recognized teacher, in the concerned subject or allied subject (if applicable) and should have published at least Five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number.
- b) For Dental Faculty:** any Full time regular teacher who have minimum fifteen years of approved teaching experience as Assistant Professor and above, after obtaining a Post Graduate degree, out of which, minimum five years as a Post Graduate recognized teacher in the concerned subject or allied subject (if applicable) and should have published at least Five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number;
- c) for other than Medical and Dental Faculty:** any full time regular teacher who have minimum ten years approved teaching experience in the capacity of Assistant Professor and above rank, after obtaining Post Graduate degree, out of which, minimum five years as a Post Graduate recognized teacher in the concerned subject or allied subject (if applicable) and also should have

published at least five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number;

**d) Full time regular teachers with Post Graduate degree and Ph.D.**

**Qualification for all faculties:** any Full time regular teacher possessing Ph.D. Degree and having minimum ten years approved teaching experience as Assistant Professor and above, after obtaining Ph.D. degree and should also have published at least five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number;

**e)** any expert or scientist working in the recognized Research Institution or Health Science Industry, research institute having M.D / M.S./ Ph.D. qualification in the concerned specialty with ten years research experience and should also have published at least five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number.

**f)** For all faculties any Post Graduate Health Science Degree holder having a professional / clinical experience of 20 years after obtaining Post Graduate Health Science Degree and working in a Hospital / Research / Teaching Institute which possess minimum required teaching / infrastructural / clinical facilities required at the research Centre to be recognized by the University as a Research Centre for carrying out M.Phil. / Ph.D. research and should also have published at least five Research Papers in the National or International Indexed or scientific Journal(s) with ISSN number.

**8.2 Eligibility Criteria for Co-Guide or Co-Research Supervisor: -**

Any recognized Guide or Research Supervisor of the University, or any other University, any expert in the concerned field as approved by the University, shall be the Co-Guide or Co-Research Supervisor.

For Interdisciplinary / Interpathy research, any recognized Guide or Research Supervisor of the University, or any other University, any expert in the concerned field of other discipline/pathy as approved by the University, can be the Co-Guide or Co-Research Supervisor as per the request of the research Scholar with recommendation of the Guide.

**9. Application and other Conditions: -**

**1)** Any eligible teacher or expert or Scientist intending to become M.Phil. and Ph.D. Guide or Research Supervisor in Health Sciences shall apply in [Annexure-II](#) along with the required documents, through the Dean or Principal or Director of the University affiliated College or recognized Institution or center of higher

learning, Research or specialized study, other than recognized Institution of Health Sciences related Industries or Health Center or research Laboratories.

- 2) The approved or recognized Ph.D. Guide or Research Supervisor of the University shall be eligible to Guide the M.Phil. and Ph.D. Scholars till the age of his superannuation and such age of superannuation shall be as prescribed by appropriate authorities (i.e. the Central Government, respective Central Councils, State Government or recognized College or Institution whichever is applicable) or the University, from time to time. Fresh registration(s) of Ph.D. Scholars shall be permitted upto one-year prior of his superannuation provided that the research supervisor gives undertaking to guide the students enrolled under him for complete duration and the appointment of eligible Co-supervisor (who is not retiring within the period of 3 years) duly certified by the concerned institute. Otherwise, three years prior to the age of superannuation of the concerned M.Phil. / Ph.D. Guide or Research Supervisor, a fresh registration(s) of Ph.D. Scholars shall not be permitted.
- 3) It shall be the duty or responsibility of the M.Phil. and Ph.D. Guide or Research Supervisor and recognized College or Institution or Centre to inform the University, once the Guide or Research Supervisor ceases to be the Guide or Research Supervisor after attaining the age, of superannuation. It shall also be the duty or responsibility of the recognized College or Institution or the Center to inform to the University regarding the transfer, resignation or absence from the work due to any other reason. Accordingly, the list of recognized M.Phil. and Ph.D. Guides or Research Supervisors shall be updated from time to time.
- 4) All the Guides or Research Supervisors shall be residing within the jurisdiction of the University.
- 5) A Guide or Research Supervisor who is a Professor, at any given point of time, shall not supervise more than three M.Phil. and eight Ph.D. Scholars or Candidates. An Associate Professor as Guide or Research Supervisor may guide up to maximum of two M.Phil. and six Ph.D. Scholars or Candidates and an Assistant Professor as Guide or Research Supervisor may guide up to maximum of one M.Phil. and four Ph.D. Scholars or Candidates. Whenever the number of Candidates registered under the Guide or Research Supervisor has reached the maximum limit, the Guide or Research Supervisor shall become eligible to supervise another M.Phil. or Ph.D. Scholar only after the submission of Dissertation / Thesis by any one of the M.Phil. or Ph.D. Scholars already

registered under him. In a given academic year, the Research supervisor / Guide shall not admit more than two M.Phil. and three Ph.D. students at a time.

- 6) The Ph.D. Guide or Research Supervisor who have passed Post Graduation in one specialty and further completed a Super Specialty Degree is eligible to be considered as Ph.D. Guide or Research Supervisor in his concerned specialty of Post-Graduation, as well as the subject of specialization during his Super Specialty degree. However, he shall be eligible to Guide or supervise as Research Supervisor, not more than total number of candidates as specified in the condition (5) above, including both the specialties referred above. For subjects in other than Medical faculties, like Dentistry, Ayurved and Unani, Homoeopathy, Allied Health Sciences, the concerned Guide or Research Supervisor shall be required to give option for Allied Subjects, as per the respective Council's Regulations or Rules, prescribed from time to time.
- 7) The application may be submitted for the recognition as M.Phil. and Ph.D. Guide or Research Supervisor and Co-Guide or Co-Research Supervisor throughout the year.
- 8) All such applications received by the University for seeking recognition as M.Phil. and Ph.D. Guide or Research Supervisor and Co-Guide or Co-Research Supervisor shall be placed before the Board of Research for their approval or further necessary action. After obtaining recognition as a M.Phil. and Ph.D. Guide or Research Supervisor and Co-Guide or Co-Research Supervisor, he will be eligible to guide the research Scholars.
- 9) In exceptional circumstances, the applications received by the University for seeking recognition as M.Phil. and Ph.D. Guide or Research Supervisor and Co-Guide or Co-Research Supervisor before the scheduled meeting of the Board of Research, may be approved by the Vice-Chancellor, justifying the need of M.Phil. and Ph.D. Guide or Research Supervisor and Co-Guide or Co-Research Supervisor, which shall be placed before the ensuing meeting of Board of Research for post facto sanction of the Board. If any dispute arises, for the action of post facto sanction in the Board of Research, then, the matter can be referred to the independent committee appointed under the chairmanship of Pro-Vice-Chancellor by the Board of Research. The recommendation of this committee shall be placed before the Vice-Chancellor for his consideration and the decision of him shall be final.

- 10) The application form of Co-Guide or Co-Research Supervisor to be submitted in [Annexure-III](#) with the consent of his Guide or Research Supervisor, along with a short note from the Guide or Research Supervisor about the necessity of Co-Guide or Co-Research Supervisor forwarded through the Dean or Principal or Director of the concerned College or Institution or Center, to the University

**10. Change of Guide or Research Supervisor: -**

- 1) Once the M.Phil. or Ph.D. Scholar is registered for M.Phil. or Ph.D. course; the change of Research Guide or Research Supervisor shall not normally be permitted.
- 2) M.Phil. or Ph.D. Guide who is away from the Center for any other reason but is willing to guide his Scholar, may be allowed to do so.
- 3) In an exceptional case, change of Guide or Research Supervisor may be allowed with the No Objection Certificate (NOC) in [Annexure-IV](#) of the earlier Guide or Research Supervisor and consent of the new Guide or Research Supervisor in [Annexure-V](#), both, the No Objection Certificates and the consent letter shall be endorsed by the respective Dean or Principal or Director of the College or Institution or Center. The same shall be kept before the Board of Research for further necessary action.
- 4) The circumstances in which the change of Guide or Research Supervisor may be allowed, shall be as under, -
  - a) If the Guide or Research Supervisor is not available or unable to Guide or supervise the research Scholar, for a minimum period of one year for M.Phil. Programme and for a period of three years for Ph.D. programme; or
  - b) if the Guide or Research Supervisor attains the age of superannuation as prescribed by the appropriate Authority or the University, as the case may be; or
  - c) if a conflict arises between Guide or Research Supervisor and Scholar due to any other reason, in such case, the No Objection Certificate of earlier Guide or Research Supervisor may not be required, if in the opinion of the Dispute Redressal Committee of the University, the same shall not be necessary; or
  - d) if the Guide is not willing to guide the Ph.D. Scholar after acceptance of the synopsis by the University, then University may allot a new Guide to the Scholar with a condition that, the topic of research shall not be changed;

**11. Cancellation of Guide or Research Supervisorship: -**

Recognition granted by the University to the M.Phil. or Ph.D. Guide or Research Supervisor of the affiliated College or Recognized Institute or Center shall automatically stand canceled, for the following reasons, namely, -

- 1) If he is ceased to be M.Phil. or Ph.D. Guide or Research Supervisor of the concerned affiliated College or Recognized Institution / Center for any reason such as superannuation, resignation, transfer, termination or dismissal etc, as the case may be;
- 2) if, at any stage it is found that the information or document(s) submitted by the recognized Guide or Research Supervisor, for recognition transpired to be forged, false or fabricated, as the case may be;
- 3) if any Guide or Research Supervisor of the affiliated College or Recognized Institution / Center creates obstacle in the smooth functioning of the University or any authority or committee of the University;
- 4) if on an enquiry made on the complaint of any research Scholar, it is proved that, the Guide or Research Supervisor is indulging in harassment of the concerned Scholar or creating obstacle in the research work of the complainant research Scholar;
- 5) the above provisions shall also be applicable to Co-Guide or Co-Research supervisor, as the case may be.

**12. Eligibility Criteria for admission to M.Phil. Degree: -**

- 1) A Master's Degree or Professional degree declared equivalent to master's degree by corresponding statutory regulatory body with at least 55% marks in aggregate or its equivalent grade 'B' in U.G.C. 7-point scale (or equivalent grade in 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 accessing, accrediting or assuring quality and standards of educational institutions.
- 2) Relaxation of 5% of marks, as from 55% to 50%, or an equivalent relaxation of grade may be allowed for those belonging to S.C./S.T./O.B.C. (non creamy layer) / Differently abled and other categories of Candidates as per the policy of the State Government, from time to time or for those who had obtained their Master's degree prior to 19th September 1991, and thereafter criteria prescribed by the UGC from time to time. The eligibility marks of 55% (or an

equivalent grade in a point scale wherever grading system is followed) and the relaxation as stated above are permissible, based only on the qualifying marks without including the grace mark procedure.

**13. Eligibility Criteria for admission to Ph.D. Degree: -**

The applicant willing to register for Ph.D. course as Ph.D. Scholar shall fulfill the eligibility conditions as mentioned below, namely, -

- 1) For non-health science post graduate degree holders, the eligibility criteria shall be as per rule 12 above.
- 2) For health sciences post graduate degree holders, the eligibility criteria shall be as under.,
  - a) the Candidate shall have the Post Graduate Degree qualification in the concerned subject of health Sciences or as the allied subject(s) notified by the University, Central Councils (if any).
  - b) the Candidate having Post Graduate Diploma, registered in the concerned Schedule of the Act of the respective Central Council or a Diplomat in National Board (D.N.B.) qualification, shall also be considered eligible, only if, such Candidate has published minimum two research papers in National or International Indexed / scientific Journal(s) with ISSN number;
  - c) the Candidate having Postgraduate Degree qualification in the allied subject in Health sciences, as enumerated in [Annexure-VI](#) and the subjects as may be specified and updated by the University, incorporating it in the list contained in the said Annexure, from time to time.
- 3) As per the approved list, if the Ph.D. Scholar possessing a Post Graduate degree from foreign University, he shall be required to submit the equivalence certificate of Indian Post Graduate degree, from the respective Central Council.
- 4) If a member of any authority of any University applying to be registered for Ph.D. degree, then he shall not participate or vote on any point or item of discussion related with Ph.D. degree before any authority or committee or sub-committee of the University.
- 5) In case, any Candidate, who is Ph.D. Guide or Research Supervisor of the University and intends to seek admission for Ph.D. degree, he shall not enroll any Ph.D. student under him till such time he completes his Ph.D. degree.

#### **14. Duration of the M.Phil. and Ph.D. Course: -**

- a) The Duration for M.Phil. programme shall be minimum of two consecutive semesters or one year and maximum of four consecutive semesters or two years.
- b) 1) The date of joining of the candidate at any recognized research institute, shall be treated as a provisional date of registration as declared by the University. However, the actual term for the Ph.D. course of selected Ph.D. Scholar shall be deemed to start from the date of approval of the Synopsis of his Thesis.
- 2) The Ph.D. Scholars shall only be allowed to submit the Thesis after completion of three years for full time Candidates and four years for part time Candidates from the date of approval of Synopsis by the University.
- 3) It shall be mandatory for all Scholars to submit six monthly progress reports, duly signed by the respective Guide or Research Supervisor, Co-Guide or Co-supervisor, as the case may be, Head of the Department and Head of the Institution for submission, to the University, preferably online or otherwise or as decided by the University from time to time, in [Annexure VII \(a\) & \(b\).](#)
- 4) The maximum duration for submission of Thesis shall be six years, for full time and part time Candidates from the date of the approval of the Synopsis. However, the same may be further extended for a maximum period of two years for full time and part time Candidates, one year each, at a time, after submission of valid justification by the Ph.D. Scholar and by paying prescribed fees as determined by the University, from time to time. After the laps of extended period, no further extension shall be granted, and the registration of the Scholar shall stand cancelled and if the Ph.D. Scholar wishes to pursue the Ph.D. course thereafter, then he shall have to register again as a fresh Candidate, following the due procedure, including the Ph.D. Entrance Test.

Provided that, Candidates with more than forty percent disability and Women Candidates may be allowed further relaxation of one year for M.Phil. and two years during Ph.D. Course, in the maximum:

Provided further that, Women Candidates may be granted Maternity Leave or the Child Care Leave up to 240 days once in the entire duration of the M.Phil. / Ph.D. Course, in addition to the relaxation referred above.

- 5) A Ph.D. Research Scholar admitted as a full-time Candidate may be converted into a part-time Candidate or vice-a-versa, in special circumstances. Application for the conversion, in [Annexure-VIII](#) to be submitted to the University. After approval of the University, a full-time or Part-time Ph.D. Research Scholar may be allowed to pursue as a full time or part time Ph.D. Candidate, as the case may be, provided all the conditions mentioned in the existing of Ph.D. Directions are fulfilled.
- 6) Normally, a Candidate shall be required to complete his research under the direct supervision of his Guide or Research Supervisor at the recognized Center. However, a Candidate who is a University approved full time Teacher or the person in the Government Service, shall be permitted to complete the research work at his College or place of his duty or appointment. In such condition, it shall be mandatory for such Teacher Candidate or person in Government Service to work at least 100 days in the full tenure of the Ph.D. course, under direct supervision of his Guide or Research Supervisor at recognized center or place of Research, before submission of the final Thesis. The certificate in [Annexure-IX](#) from the Guide or Research Supervisor regarding mandatory attendance of the Ph.D. Scholar, along with signature of Head of concerned Institution shall be a pre-condition for submission of final Thesis, through the concerned College or Institution.
- 7) Notwithstanding anything contained in this Direction or in any other Rule or Regulation, for the time being in force, the Institution, College or Ph.D. center shall not conduct Ph.D. Programme through distance education mode.

## **15. Procedure for Admission: -**

### **15.1. Entrance Test and Publication of Merit List: -**

- 1) Faculty-wise, College / Center-wise and subject-wise seat matrix will be displayed by the University at the beginning of Entrance test.
- 2) The admission of the Candidates for M.Phil. and Ph.D. Degree shall be on the basis of Merit of entrance test (M.Phil. and Ph.D. Entrance Test) conducted by the University. Separate terms and conditions for Entrance test shall be notified and declared for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder/AYUSH NET or who have passed M.Phil. programme. Similar

procedure shall be adopted in respect of Entrance Test for M.Phil. programme.

- 3) The entrance test shall be qualifying test with 50% qualifying marks together in both Papers i.e. Paper I & II of PET Examination for the candidates of open category and 45 % marks in PET Examination for the candidates belonging to reserved category. After the M.Phil. and Ph.D. entrance tests, Merit list of the Candidates, highest to lowest merit, shall be displayed by the University on its website.

**15.2. M.Phil. / Ph.D. Entrance Test and Enrolment for M.Phil. / Ph.D. course: -**

- 1) The University may publish a Notification for inviting applications from aspirant Candidates for admission to M.Phil. and Ph.D. courses, taking into consideration the vacancy position as submitted by the concerned recognized M.Phil. and Ph.D. Centers, under all the faculties of Health Sciences, along with the details such as subject-wise vacancy position, reservation guidelines and list of M.Phil. and Ph.D. Guides or Research Supervisors. Application of the Candidate shall be considered by the University taking into consideration the vacant positions and availability of M.Phil. and Ph.D. Guides and recognized M.Phil. and Ph.D. Centers in the concerned subject only.
- 2) Application of the Candidate for the subject, other than specified subjects by the University, shall be rejected and no correspondence shall be entertained in that behalf, by the University.
- 3) The Entrance Examination shall be conducted at the Headquarters of the University, as far as possible, or at such place as may be determined by the University. The University shall organize Entrance Test for the purposes of admission to M.Phil. / Ph.D. course for Full-time and Part-time Ph.D. Candidates. The mode of examination shall be as decided by the University from time to time.
- 4) The Entrance Test shall consist of two papers having Multiple Choice Questions, as stated below, namely, -

Paper I	
100 marks- (50 Multiple choice questions of 2 marks each, time duration of one hour).	General Aptitude and Research Methodology,
Paper II	
100 marks- (50 Multiple choice questions of 2 marks each, time duration of one hour).	Knowledge Test on post-graduation subject applied by the Candidate.

**Note:** Knowledge Test paper shall be in the subject applied by the Candidate and the Candidate has to appear in both the papers.

- 5) In case the University is in receipt of more than one application from a candidate for Ph.D. Entrance Test, then such Candidates shall have to submit the option form and he shall be required to appear only for the opted subject. Regarding the remittance or refund of fees received in respect of such candidate, it shall be determined by issuing Notification by the University from time to time.
- 6) The University shall publish the General merit list of the Entrance Test on its official website, which shall be valid for a period of six months only.
- 7) Admissions shall be done based on General merit list of the Entrance Test (Highest to lowest marks) and as per roster published by the University from time to time.

**15.3. Final Selection of Candidates and allotment of Research Guide / Center: -**

- 1) The University shall publish first admission schedule, after publication of the P.E.T. merit list on the official website, for the purposes of Ph.D. admissions. It shall mention the period for filling up admission preference form, the date of display of the Merit list at the Ph.D. Research Center, the period of Counseling, etc. along with general Guidelines, as notified by the University, from time to time.
- 2) The Candidate shall submit his preference for his choice Research Centers, within the period as may be notified by the University. The University shall prepare and follow faculty wise roster for reservation of seats available at the respective Center, as per constitutional reservation rules and publish it on the official website of the University.
- 3) The University shall prepare subject-wise and Center-wise distribution list of the Candidates as per general merit list and preferences submitted by the Candidates and put up before the Vice-Chancellor for the approval. The Vice-Chancellor may constitute committee for conduct of admission process.
- 4) The Research Center shall communicate the list of admitted students within time schedule published by the University.
- 5) The selected Candidates shall report to the Research Center and confirm his admission, within time schedule published by University. After completion of first round of admission, the Ph.D. Research Center shall communicate the vacancy position to the University within time schedule published by University. The University shall fill up the vacancies from general merit list in second round of admission.

- 6) After completion of all admission process, waiting list shall be prepared which shall be valid for the next six months from the date of last admission made in that year.
- 7) Allotment list of the Ph.D. Center shall be published on the University website. The Candidates shall finalize their admission in the allotted Ph.D. Center and submit their provisional registration form, retention form, along with necessary documents and the notified fees, within the time schedule published by the University.
- 8) If a candidate submits his retention form along with provisional registration form, then his seat will be treated as admitted seat. Such candidates shall not be eligible for second round of admissions.
- 9) The Candidates who have not submitted their retention form along with provisional registration form, their allotted seats shall be treated as vacant seats and those seats shall be published for second round. These Candidates will be eligible to submit their preferences in second round.
- 10) It shall be mandatory for In-service Candidates to apply for full-time or part-time, Ph.D. programs through proper channel, along with the No Objection certificate of their respective employer in [Annexure-X](#) or [Annexure- XI](#), as the case may be.
- 11) As per section 76 of the said Act, a Candidate to be enrolled as student of the University, shall be required to obtain eligibility of the University.
- 12) Candidates shall follow the guidelines given by the University by Notifications / Circulars issued, from time to time.

#### **16. Change of Research Center: -**

- 1) In no circumstances other than the following exceptional cases the change of research center shall be allowed, if the Guide/Supervisor is transferred to other College or Research Center and if there is no Guide/Supervisor of the concerned specialty available at the research center of the Scholar or due to any other compelling circumstances such as, if the Guide/Supervisor of the concerned specialty is not available at the research center.
- 2) In such cases, the No Objection Certificates (NOC) from the current and proposed research center and the N.O.C. from the Guide or Research Supervisor in [Annexure - XII](#) shall be required to submit through the Dean/Principal of the research center:

Provided that, it shall be mandatory for the research center/College where the Scholar proposes to work should have the minimum teaching,

Clinical, and Laboratory facilities with the minimum Clinical material required for the research.

- 3) The Scholar shall have to submit the six monthly attendance reports from the current Institute in [Annexure - XIII](#), apart from the six monthly progress reports to be submitted through the new research center. Such Scholars who intending to do research at a place other than their parent Institute shall be designated as part time research Scholars and all the relevant rules for part time Scholars shall be applicable to them.

#### **17. Provisional Registration: -**

After successful admission process, the date of the admission of the Candidate at any Research Center or College or Recognized Institution shall be treated as a provisional date of Registration. However, the actual term of Candidate shall deemed to start from the date of approval to the Synopsis for Ph.D. Scholars.

#### **18. Course Work: -**

- 1) After registration and within six months of the date of final registration, the admitted Candidates shall be required to undertake the course work organized by the Institution or Research Center, as the case may be. All candidates admitted to the M.Phil. and Ph.D. programmes shall be required to complete the course work within a minimum period of one semester. The part time Ph.D. Scholars also will have to complete the minimum one semester residential programme of the course work at the assigned research center under allotted research guide. All the Candidates shall be required to submit the Certificate of participation in course work for one semester in the prescribed Course Work Assessment Report in [Annexure-XIV](#), which is to be certified by the Guide or Research Supervisor, the Head of the Department and the Head of the Institution. If the Ph.D. Scholar fails to satisfactorily complete the course work within the time limit, then admission of such Scholar shall be liable to be cancelled.
- 2) The course work shall be compulsory and same shall carry 16 Credits for Ph.D. Scholars and 8 credits for M.Phil. Candidates.

#### **The bifurcation of these credits are as under, -**

- a) 4 credits for Research Methodology, including quantitative methods, computer application, tools and techniques including instrumentation, communication skills, research ethics and review of published research. This course work shall be treated as pre-requisite for M.Phil. and Ph.D. preparation to be completed by attending University Organized or

University Approved workshop on Advanced Research Methodology of not less than 6 days' duration;

**b)** 8 credits for the specific subjects' (2 subjects) course work.

**c) i)** 4 credits for self-study course on Recent Advances in the subject Concerned (subject under which the Scholar is registered for M.Phil. /Ph.D. course)

**ii)** 4 credits for Assignment and Research Seminar related to area of research for Ph.D.

**iii)** The Scholar shall make a presentation on the research work with special emphasis on Review of Literature, Methodology, dummy tables and findings of Pilot study. The presentation will be submitted to the department as a project report.

**iv)** The Research Center shall invite an external examiner (approved Ph.D. guide from similar research discipline or Research Methodology expert from the panel list of University) during assessment of seminar.

**d)** 4 Credits for Academic activities such as Seminar presentation, Book Review or Hands on training in research related field of not less than 6 days duration or Participation in workshop related to research area of not less than 3 days duration or Paper presentation in National or International conference. The research Scholar shall make presentations of any one of these academic activities in front of Research Advisory Committee (RAC) and submit the presentation (with evidence of participation) to the department as an assignment. The Research Center will invite an External Examiner (Approved Ph.D. guide from the similar research discipline) during assessment of academic activities.

**3)** The syllabus, evaluation procedure and examination schedule of the course works shall be finalized by the RAC under intimation to the University and shall be communicated to the M.Phil./Ph. D. Scholar. The Research Methodology Course and Self Study Course on Recent Advances in the subject concerned shall be evaluated by a 50 marks theory examination of two hours duration each. The Research Seminar and Academic Activities shall be evaluated by a 50 marks viva voce examination, each at the time of presentation by the research Scholar. The evaluation and grades in the course work, including research methodology courses shall be finalized after combined assessment by the Research Advisory Committee and the

Department as per University directives. After successful completion of the course work, the final grades shall be communicated to the institution/College/center under intimation to the University in the notified Course Work Assessment Report format in [Annexure-XIV](#). The research Guide will work as the Convener for the Course Work Examinations. The M.Phil. and Ph.D. Scholar has to obtain minimum 55% of marks or its equivalent grade in the course work, out of total assessment of 100 and 200 marks for M.Phil. and Ph.D. Scholars, respectively, in order to be eligible to continue in the program and shall submit the Dissertation / Thesis.

- 4) If the research Scholar is unable to complete the course work within the stipulated time or is unable to qualify in the course work assessment examinations, a Ph.D. Scholar may be given a one-time extension of six months for completing the course work satisfactorily, after obtaining permission from the University. No further extension shall be permissible and the registration of the Scholar shall stand cancelled afterwards.

**19. Submission of Synopsis: -**

- 1) The admitted Ph.D. Scholar shall submit copy of his Research proposal (Synopsis) online or as notified by the University, duly signed by the Research Guide or Research Supervisor, through the Head of the Department and Head of the Institution in [Annexure-XV](#) within five months from the date of provisional registration. The admitted M.Phil. Scholar shall submit copies of his Research proposal (Synopsis) online or as notified by the University, duly signed by the Research Guide or Research Supervisor, through the Head of the Department and Head of the Institution in [Annexure-XV](#) within three months from the date of provisional registration. After this time limit, late submission of synopsis will be allowed with late fees notified by the University from time to time, for a maximum period of one month, with the prior permission of the Vice Chancellor for valid reason. After this period, the submission of synopsis shall not be allowed / considered by the University for any reason and Registration fees of the research Scholar shall not be refunded in any circumstances and the registration of the student shall stand cancelled.
- 2) The Research proposal (Synopsis) shall be submitted only after obtaining approval or recommendation of the Institutional Ethics Committee (IEC) of the College or institution and copy of same shall be submitted to the University along with the Research proposal.

- 3) The Synopsis or Research proposal received, shall be forwarded to the expert in the concerned specialty or subject by the University for recommendation(s), comment(s) or suggestion(s) (if any) of the expert through any communication media.
- 4) The recommendation(s) or comment(s) or suggestion(s), if any, received from the concerned expert along with Research proposal shall be placed before the Board of Research.
- 5) Accordingly, the M.Phil. and Ph.D. Scholar and concerned Guide or Research Supervisor shall modify the proposal as per the amendments or corrections, if any, suggested by Board of Research, and he shall resubmit the same.
- 6) If, the Title and / or methodology of research in synopsis is completely rejected by the experts, the Scholar shall be given only one opportunity to resubmit the new Title synopsis within 2 months from the date of communication about rejection with the late fees as notified by the University.

**20. Change of Research Topic: -**

Normally, no change of research topic shall be allowed after the approval of Title and Synopsis and after allotment of Permanent registration number by the University. However, in an exceptional circumstance, the request for change of topic may be entertained by the Board of Research with valid / genuine reasons taking on record and the decision of Board of Research shall be final and binding.

**21. Final Registration: -**

- 1) After the due approval to the Synopsis or Research proposal of the M.Phil. and Ph.D. Scholar, by the Board of Research, the final registration shall be issued to the M.Phil. and Ph.D. Scholar by the University.
- 2) No major change in the Topic and Synopsis shall be allowed after final Registration, provided that, in exceptional circumstances the request for major change in Topic or Synopsis may be considered by the Board of Research and in such case the period for the M.Phil. and Ph.D. shall be counted from the date of approval letter of the Board for changed Topic or Synopsis.

**22. Monitoring of Research Work: -**

Research Scholar should make six monthly presentations of progress made and plan (next six months) of the intended research work in front of Research Advisory Committee. The record of such presentation with queries raised by committee and suggestions given and the corrections made should be

presented by the M.Phil. and Ph.D. Scholar when he will present subsequent progress report. The progress report should be sent to University in [Annexure VII](#), signed by the Guide and Chairman of the Research Advisory Committee.

**23. Annual Progress Review of Ph.D. Research of Scholars: -**

At the end of every year after approval of synopsis, Annual Progress Review will be conducted by the Research Advisory Committee of the research center. The Scholar shall make a presentation on the research work and it shall be submitted to the department as a project report. The research Guide will work as the Convener for this presentation of Annual Progress Review. It will be mandatory for the Research Center to invite an external examiner (approved Ph.D. guide from similar research discipline or Research Methodology expert from the panel list of the University) during assessment of presentation. This panel shall evaluate the research work of the Ph.D. Scholar in Annual Progress Review Format [Annexure XVI](#) and submit the report along with the six monthly progress report to the University.

**24. Pre-M.Phil./Pre-Ph.D. Viva Voce and Presentation: -**

Prior to the submission of the Dissertation or Thesis, the Scholar shall make the presentation in the concerned Department of the recognized Institute or the Center, before the Research Advisory Committee of the Institution concerned, which shall also be open to all faculty members and other research Scholars. One external subject expert (mandatory) from the approved panel of University shall be called for the Pre-M.Phil. /Pre-Ph.D. viva obtaining due permission from the University. The Guide of concerned Scholar shall intimate the University regarding dates of Pre Viva at least one month in advance and co-ordinate with the University for the same. The feedback and comments obtained from the committee may be suitably incorporated into the draft Dissertation or Thesis, in consultation with the Research Advisory Committee. The report of Pre-M.Phil. / Pre-Ph.D. viva voce should be submitted in [Annexure-XVII](#), duly signed by the Chairman of Research Advisory Committee, the external subject expert and research guide. The report should provide details about the course work, the progress reports, and research publications of the Scholar apart from assessment of the draft Thesis.

## **25. Submission of Draft Thesis (Ph.D.) / Dissertation (M.Phil.), -**

- 1) After successful Pre-M.Phil./Pre-Ph.D. Viva Voce / presentation and subsequent fulfillment of queries, amendments or modifications, etc., as suggested by the Research Advisory Committee of the research center, the Candidate shall be eligible to submit the draft Thesis.
- 2) The Candidate shall submit one hard copy of draft Thesis / Dissertation in spiral binding, along with two pen drives containing soft copies in searchable PDF format, with a Certificate for successful Pre-M.Phil. /Pre-Ph.D. Viva Voce or Presentation, before Research Advisory Committee of the Institution, along with a covering letter.
  - i) The draft Thesis / Dissertation shall be typed in Arial or Times New Roman Font, in the font size 12, in double spacing.
  - ii) Every student submitting a draft Thesis, Dissertation, or any other such documents to the research center and the University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and that the Research work from other sources has not been included, except the citation or examples quoted and is free of any plagiarism, in [Annexure-XVIII](#). The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the Research center. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free. Every research center shall develop their own anti plagiarism policy as per the guidelines of UGC and publish it on their website.
- 3) The material which has been obtained from the other sources shall be duly acknowledged in the draft Dissertation / Thesis by the M.Phil. / Ph.D. Scholar. If the material obtained from the other sources has not been duly acknowledged, then the research Scholar shall be held responsible for Plagiarism. The Scholar shall be made aware about the consequences of Plagiarism. In case of Plagiarism, the M.Phil. and Ph.D. Scholar shall be liable to be punished by way of withdrawal of the Dissertation and M.Phil. and Ph.D. Degree even if already awarded as well as is liable for a legal action under relevant provisions.

## **26. Verification of Plagiarism: -**

- 1) On receipt of the draft Thesis / Dissertation from the Candidate, it shall be sent to the Expert, nominated by the Vice-Chancellor for verification of

plagiarism in the Research work in the Thesis/ Dissertation, or which shall be verified through the software or by any other manner, as per the policy decided by the University, in that behalf.

- 2) After receipt of the satisfactory report through the software and from the expert, the Candidate shall be eligible to submit final Thesis/ Dissertation.
- 3) In case, if an unsatisfactory report is received from Anti Plagiarism expert, then the University shall convey the matter to the concerned Candidate and the Research Advisory Committee, which may initiate an appropriate action for re-submission. As per the UGC norms in respect of Plagiarism, for level one - similarities between 11 to 40%, the Scholar will have to resubmit the revised draft Thesis/ Dissertation within period of six months along with the fees as notified by the University. For level two - similarities between 41 to 60%, the Scholar will be debarred from submitting the revised draft Thesis/ Dissertation for a period of one year, provided that, the total duration of M.Phil. and Ph.D. course shall not exceed maximum permissible duration, respectively.
- 4) In case of level three - similarities above 60%, the registration of the candidate shall be cancelled.
- 5) The Departmental Academic Integrity Panel (DAIP) chaired by the Head of Department with senior academician and person well-versed with anti-plagiarism tools, as members should be constituted at the departmental level for handling and investigating case(s) of plagiarism.

## **27. Submission of Final Dissertation / Thesis: -**

- 1) After successful Pre-M.Phil. and Pre-Ph.D. Viva Voce or Presentation and subsequent fulfillment of queries, amendment or modification, etc., as suggested by the Research Advisory Committee of the Institution, and anti-plagiarism assessment the Candidate shall be eligible to submit the final Dissertation / Thesis.
- 2) The Candidate shall submit four hard copies of the final Dissertation/Thesis along with a pen-drive containing soft copy in PDF format, and 10 copies of the summary of the Dissertation / Thesis along with a Certificate for successful Pre-M.Phil. and Pre-Ph.D. Viva Voce or Presentation, before Research Advisory Committee of the Institution, along with a covering letter to the University.

- 3) The final Dissertation/Thesis shall be typed in Arial or Times New Roman Font, in the font size 12, in double spacing. It shall be well bound. No Spiral binding final Thesis shall be accepted.

**28. Appointment of Examiners or Referees: -**

- 1) The exhaustive panel of Examiners or Referees for Dissertation/Thesis evaluation and conduct of open Viva Voce and Defense, duly recommended by the Board of Research, shall comprise of preferably active recognized M.Phil. and Ph.D. Guide or Research Supervisor or PG Guide. The Board of Examinations may also appoint examiners or referees from the exhaustive panel of eligible Post Graduate Guides who fulfil the criteria to become M.Phil. /Ph.D. Guides or Research Supervisor. Appointment of Examiners or Referees shall be done by a committee as per the provision under clause (a) of sub-section (5) of section 31 of the said Act. along with two persons nominated by the Academic Council.
- 2) For Ph.D. Thesis Evaluation, there shall be the panel of three examiners, out of them, one examiner shall be Internal Examiner, who may be the M.Phil. or Ph.D. Guide or examiners from the exhaustive panel of eligible Post Graduate Guides who fulfills the criteria to become eligible for M.Phil. and Ph.D. Guide / Supervisors or any other Examiner within the jurisdiction of the University and other two External Examiners shall be from out of the State. In case of refusal/non acceptance from any examiner so appointed, substitute examiner shall be appointed by the University from the panel approved by the 31 (5) (a) Committee or list approved by Board of Research Committee or the Dean of Faculty or as the case may be. In case of refusal or non-availability of the external examiner, a recognized Ph.D. Guide or Research Supervisor or who fulfills the criteria to become eligible for M.Phil. and Ph.D. Guide / Supervisors from any Deemed University of Health Sciences, may be appointed.
- 3) For M.Phil. Dissertation Evaluation, there shall be one External Examiner from out of State. In case of refusal/non availability of the examiner so appointed, substitute examiner shall be appointed by the University from the panel approved by the 31 (5) (a) Committee or List approved by Board of Research Committee or the Dean of Faculty or as the case may be.

**29. Evaluation of Dissertation / Thesis: -**

- 1) The three examiners (both internal and external) for Ph.D. and One External Examiner for M.Phil. Course shall be appointed by the Board of Examinations

in accordance with the provisions of Section 31(5)(a) of the MUHS Act 1998, to examine the Dissertation / Thesis. The Controller of Examinations shall communicate each examiner, by any of the two means, i.e., by e-mail or by post or by telephonic communication or by any means, as approved by the University. It shall be mandatory for the Examiner to communicate acceptance or non-acceptance of his appointment to the Controller of Examinations. In case of refusal or non-acceptance from any examiner or no communication is received from the examiner within a period of two weeks from date of communication, it shall be treated as cancellation of his appointment. Substitute examiner shall be appointed by the University from the panel approved by the 31 (5) (a) Committee or List approved by Board of Research Committee or the Dean of Faculty or as the case may be.

- 2) In case of acceptance of examinership for assessment, the Controller of Examinations shall forward the Dissertation / Thesis along with summary thereof to such examiners.
- 3) The respective Examiner shall independently send his Dissertation / Thesis assessment report along with copy of the Dissertation / Thesis, to the Controller of Examinations within sixty days from the date of receipt of the Thesis for Ph.D. and within 30 days, for M.Phil. If any examiner fails to do so, the Controller of Examinations shall, immediately, after the expiry of the said period, request him to submit the report along with the Dissertation / Thesis within a period of fifteen days. If the concerned examiner fails to comply within the extended period, the Vice-Chancellor shall cancel his appointment forthwith and a new Examiner shall be appointed from the existing panel of Examiners. In case of request for the late submission of the report or late receipt of the report after the appointment has been cancelled or the loss of report or postal delay, etc. the Vice-Chancellor shall take an appropriate decision in the matter.
- 4) The examiners shall submit the Dissertation /Thesis assessment report in [Annexure-XIX](#) and shall make one of the following recommendations, namely, -
  - a) The Dissertation / Thesis is acceptable for the award of the Degree, provided it contains substantial points and shows significant contribution in existing scientific knowledge;
  - b) The Dissertation / Thesis is acceptable, subject to revision / modification / corrections, if any, of certain points as suggested by the Examiner;

- c) The Dissertation / Thesis is not acceptable, in this case the examiner shall mention precise reasons in writing, for the non-acceptance,
- d) If both the External examiners recommend for acceptance of the Dissertation / Thesis for the award of the Degree, the Dissertation / Thesis shall be accepted and it shall be processed for open Viva Voce and Defense of the Thesis for award of Ph.D. degree. There shall be Viva Voce examination of the Dissertation of M.Phil. Scholars as a part of final University examinations and the degree will be awarded after passing final University examinations.
- e) In case of suggestions given by the examiners, the Candidate shall be required to re-submit the changes incorporated in the thesis should be highlighted in two hard copies in pages along with soft copy of the revised Ph.D. Thesis to the University within the period of one month and M.Phil. Dissertation within 15 days from the date of its receipt, for its further submission to the examiner(s) who have suggested the changes. The examiner(s) shall re-submit their report in [Annexure-XX](#). The examinee is required to submit three hard copies of revised Ph.D. Thesis along with pen drive before final Ph.D. open Viva Voce and defence of Dissertation/Thesis. If the Dissertation / Thesis is not received within stipulated time period, then it will not be accepted by the University.
- f) In case of non-acceptance of the Ph.D. Thesis by one of the External examiners and the other External examiner recommending its acceptance, then the evaluation report of the internal examiner shall be taken into consideration. In such cases, the Thesis shall be accepted and processed for the open Viva Voce and Defense of the Thesis; provided that two examiners (including the internal examiner) have accepted the Thesis,
- g) In case, where two out of the three examiners have given an unfavorable or non-acceptance or rejection report, then the Vice-Chancellor shall get the Thesis examined by another additional examiner, from the panel of examiners approved by the Board of Examinations. If the additional examiner also gives an unfavorable or non- acceptance or rejection report, then, the Candidate shall be deemed to be failed and it shall be informed accordingly to the Candidate and the registration of such Candidate shall stands cancelled.

- h) M.Phil. Dissertation shall be evaluated by one external examiner from out of State by the University. If the dissertation is accepted by the external examiner, the examinee shall be eligible to appear for theory and practical examination of the University. The examinee whose dissertation is not accepted, will not be eligible to appear for theory and practical examination of that particular year. However, such examinee shall submit fresh dissertation for next examination.\_
- i) The Scheme of Examinations and final evaluation of M.Phil. programme shall be based on theory, case reports, Dissertation, clinical examination and viva voce including submissions.

**30. Eligibility for Submission of Final Ph.D. Thesis and M.Phil. University Examination: -**

The following pre-conditions are to be complied before Submission of Final Ph.D. Thesis and M.Phil. University Examination, namely: -

- 1) Satisfactory completion of course work.
- 2) Satisfactory completion of six months residential course work for part time Ph.D. Scholars.
- 3) Synopsis approval.
- 4) Allotment of Permanent registration number.
- 5) Eligibility letter of the University.
- 6) Satisfactory completion of Annual Progress Review at the end of every year after submission and approval of synopsis for Ph.D. Scholars.
- 7) Satisfactory completion and timely submission of six monthly progress reports.
- 8) Publication of at least one research paper in referred Journal for Ph.D. Scholar.
- 9) Presentation of two research papers in conferences/seminars for Ph.D. Scholars and at least one research papers in conferences/seminars for M.Phil. Scholars.
- 10) Attendance certificate from the research guide and research center of more than 75% attendance for full time Ph.D. Scholar and 80% attendance for M.Phil. Candidate minimum of 100 working days during total duration for part time Ph.D. Scholars.
- 11) Plagiarism verification report.

**31. Open Viva Voce and Defense of Dissertation / Thesis: -**

For Open Viva-voce and Defense of the Thesis for Ph.D., there shall be a separate Viva Voce Committee of three members which shall include, -

- a)** The Guide or Research Supervisor of the Candidate, who shall be the Convener cum Internal examiner,
- b)** One External examiner, who has examined and recommended for acceptance of the Thesis,
- c)** One subject expert, appointed by the Vice-Chancellor.

This committee shall evaluate the performance of the research Scholar during the Viva-Voce and the open Defense.

- 1)** On receipt of the positive recommendation reports from any two of the three examiners (including internal and external) for the award of Degree, the University shall arrange for the Candidate's Open Viva Voce and Defense of the Thesis.
- 2)** The date of Open Viva Voce and Defense of Thesis shall be determined in consultation with the External Examiner. The place of the Open Viva Voce and Defense of the Thesis shall be determined by the University. It shall be the duty of the Guide or Research Supervisor or Head of the Department to circulate the notice of Open Viva Voce and Defense of the Thesis stating the Research Topic of the Thesis to the other Departments, at least 48 hours before the test and Defense to enable the other faculty members and candidates to attend the same.
- 3)** The date of open Viva Voce and Defense shall be arranged in consultation with the External Examiners. However, in case, if it is not possible for any External examiner to remain present for the test and the Defense, then the said fact shall be brought to the notice of the Vice-Chancellor for appointment of the another external examiner, and the copy of Thesis shall be forwarded to such external examiner. Where the internal examiner is not available, the Vice-Chancellor shall appoint one of the senior research Guides or Research Supervisors in the subject concerned, from the panel of recognized research Guides or Research Supervisors in the subject or allied subject, to act as an Internal Examiner.
- 4)** The M.Phil. and Ph.D. Scholar shall make a presentation of his Dissertation/ Thesis, covering the background, objectives, methodology, results or outcome and the conclusions of his study. The examiner and those attending the open Viva Voce and the Defense may participate, by asking relevant questions. The questions those may be asked during the Viva Voce shall be of constructive type, non-teasing in nature and shall lead to logical discussion on the Topic of the Dissertation/Thesis. No member of the audience shall have right to

comment on the acceptability or non-acceptability of the Thesis for the award of the Ph.D. Degree. The examiners shall adjudge the answers given by the Scholar to the queries of the audience and appropriately consider it, while preparing the report. The decision of examiners shall be final and binding in respect of the query raised by the audience.

- 5) The final consolidated report about the award of the Degree shall be submitted to the Controller of Examinations by the Guide or Research Supervisor and the external examiner, immediately after the Defense is over, in a prescribed format in [Annexure-XXI](#). This submission shall be specific and it shall contain recommendation for the award of the Degree, or a fresh Viva Voce, after a specified time, if the performance of the candidate is not satisfactory.
- 6) In case, the Open Viva-Voce and the Defense is not satisfactory, the examiners may, by majority, recommend with reasons in writing, the specific comments regarding unsatisfactory performance of the Candidate. The Candidate shall act upon the comments accordingly, and face the Viva Voce again, after the period of three months before the same examiners.
- 7) In case, Open Viva Voce and the Defense is scheduled by the University and the Candidate remains absent for it, his viva voce shall be re-scheduled by the University, after a period of three months, as per the convenience of the University.
- 8) If any Candidate is enrolled as Ph.D. Scholar and his Guide or Research Supervisor happens to be the member of the Committee or a referee, in view of the provision of clauses (a) and (d) of sub-section (5) of section 31 of the said Act, then, in such case, the concerned member of the Board shall not conduct open Viva Voce and Defense of the Candidate. However, such member may remain present for the Open Viva Voce and Defense and he shall be entitled for Travelling Allowance and Daily Allowance.
- 9) The M.Phil. Dissertation shall be evaluated by his/her research guide and at least one external examiner. The Viva Voce examination, based among other things, on the evaluation reports, shall be conducted by both of them together and shall be open to attending members of the research adversary committee, all faculty members of the department, other research Scholar and other interested experts/researchers.

### **32. Final Result: -**

- 1) The overall result of the Open Viva Voce and Defense of the Thesis shall be declared under Notification by the Controller of Examinations within fifteen days from the date of receipt of acceptance of Defense of the Thesis. The Controller of Examinations shall issue a Provisional Degree Certificate to the Scholar on his request, certifying the Degree has been awarded in accordance with the provisions as prescribed by the University, the UGC Regulations and the concerned Council (if applicable). The result of M.Phil. examination will be declared as per the provision made under section 56 of MUHS Act. 1998.
- 2) Once the Ph.D. Degree is awarded to the Candidate, one soft copy of the Thesis shall be kept under the custody of the Controller of Examinations. The hardcopy and soft copy of the Thesis shall be deposited to University Library, and concerned Ph.D. Research Center shall maintain one copy at its level.
- 3) Depository with Information and Library Network (INFLIBNET) Center, - Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the concerned Institution, shall submit an electronic copy of the Ph.D. Thesis to the Information and Library Network INFLIBNET, for hosting the same so as to make it accessible to all the Institutions or Colleges.

### **33. Redressal of Dispute: -**

In case the Research Scholar is unable to do his Research work due to any dispute between a Research Scholar and his Guide or Research Supervisor or the Research Center, or the dispute regarding admission or any other dispute concerned with research work, the Redressal Committee consisting of the following, shall examine the matter after hearing both the parties and report to the Vice-Chancellor, whose decision shall be final, namely. –

- a) The Dean of the concerned faculty..... **Chairman,**
- b) One subject Expert, to be nominated by the Vice-Chancellor..... **Member,**
- c) The Controller of Examinations..... Member,
- d) The Registrar..... Member Secretary.

### **34. Grant of recognition or affiliation as M.Phil. / Ph.D. Research Center: -**

- 1) The desirous College / Institution shall apply to the University for Recognition or Affiliation as M.Phil. / Ph.D. Research Center in **Annexure-XXII** along with the prescribed initial one-time recognition fees, and for continuation or recognition of College or institution or laboratories shall have to pay annually

the continuation or recognition fees as prescribed by the competent authority of the University, from time to time.

- 2) On receipt of the proposal along with the prescribed fees, the University shall inspect the concerned institution by appointing Local Inquiry Committee (L.I.C.). The Committee shall carry out the inspection of the concerned institution and submit its report in [Annexure–XXIII](#). On receipt of said (L.I.C.) report, after due scrutiny, the concerned section of the University shall place the report before the Academic Council for its consideration. The decision of the Academic Council shall be final and same shall be communicated by the University to the concerned College or Institution.
- 3) The process of grant of affiliation and continuation of affiliation as prescribed by the University shall be mutatis-mutandis applicable to the Institution to be recognized as M.Phil. and Ph.D. research Center(s) or Institution(s) or College(s) as may be considered eligible to offer M.Phil. and Ph.D. programs. Further, such Centre shall be at par with the teaching institute of concerned subject / faculty in which the Centre requests to recognize for the M.Phil. and Ph.D. programme. Such Centre shall satisfy the availability of eligible Research Supervisors, required infrastructure and supporting administrative and research promotion facilities, adequate facilities for research. In case of specific discipline, exclusive research laboratories equipped with sophisticated equipment and instruments as may be required, along with computer facilities and essential software, library for reading, writing and storing study and research materials; and an uninterrupted power and water supply and any other such facility as may be prescribed by the University, from time to time. For academics, Administrative and Infrastructure requirement for M.Phil. / Ph.D. centre refer clause 2.2 of the instant Direction.
- 4) No Research Center shall be recognized as a place of work for research unless at least two M.Phil. and Ph.D. Guides or Research Supervisors are available at that particular place of work. However, those Colleges or Institutions already recognized for respective subject may be accorded continuation of affiliation or recognition, provided that they fulfil all other conditions as verified by Local Inquiry Committee, though, there is no recognized Guide or Research Supervisor at the time of continuation, subject to the condition that the M.Phil. and Ph.D. students shall be allotted to such Colleges or Institutions only after recognized Guide or Research Supervisor is made available.

- 5) The Affiliated Colleges or approved or recognized Institutions having Post Graduate courses shall fulfill all the norms of minimum standard and requirements, as prescribed by the respective Central Council / National Medical Commission, for Post Graduate Courses, for its Recognition as a place of research for M.Phil. and Ph.D. Degree.
- 6) The research center recognized by the University or conventional University or any other Central or State University shall be considered as valid place of research in the field of Health Sciences.
- 7) The Human and Animal Ethics Committee, duly registered under the appropriate authority shall be mandatory for all Institutions which have been recognized as M.Phil. and Ph.D. Research Centers.
- 8) The affiliated Colleges / Institutions recognized by the erstwhile non-agricultural Universities as M.Phil. and Ph.D. Research Center in the Faculties of Medicine, Dental, Ayurved and Unani, Homoeopathy and Allied Health Sciences, shall be deemed to be recognized by this University as M.Phil. and Ph.D. Research Center for such specific period, up-to the award of Ph.D. Degree to the last student admitted for M.Phil. and Ph.D. Degree by the erstwhile non-agricultural University. However, it shall be necessary for the said College or Recognized Institution/Center to submit proposal for continuation of recognition as M.Phil. and Ph.D. Center to this University, along with prescribed fees. After award of Ph.D. Degree, to the last student admitted in such College or institution by the erstwhile non-agricultural University, if such Institution desires to continue to be the recognized Institution of this University, in such event, the College or institution shall have to apply afresh for recognition as Ph.D. Research Center, in Annexure-XXII. After following due procedure, the Academic Council may approve the College or recognized institution/Center as a recognized Ph.D. Research Center of the University. The decision of the Academic Council shall be communicated to such College or Institution or Center in writing by the University.
- 9) The Health Sciences related Industries or Research Center or Laboratories may apply for recognition as M.Phil. and Ph.D. Research Center, provided that, they have sufficient infrastructure at par with the teaching institute and having advanced technical facilities in the concerned area or subject of research. The process of grant of affiliation and continuation of affiliation, prescribed by the University shall, mutatis-mutandis, be applicable to the Institution to be recognized as Research Center. Such research centres shall

have academics, Administrative and Infrastructure requirement for M.Phil. / Ph.D. centre mentioned under clause No. 2.2 of the instant Direction.

- 10) Incomplete proposals shall not be considered by the University and may be returned to the concerned College or institution or Center, and the Colleges or institutions or Centers shall be solely responsible for the same.

**35. Continuation of Recognition of Research Center: -**

- 1) The University by appointing Local Inquiry Committee may carry out periodical inspection after every five years, for continuation of recognition of Research Center. It shall be necessary for the recognized Center to submit the proposal along with requisite fees as prescribed by the University, from time to time. The Institution shall be required to submit the proposal in [Annexure-XXIV](#) along with fees for continuation of the M.Phil. and Ph.D. Research Center, every year before 31st October. On receipt of the proposal, the University may appoint Committee to inspect the infrastructural and research facilities available there. The report received from Local Inquiry Committee, if appointed, shall be placed before the Academic Council. The decision of the Academic Council regarding continuation of recognition shall be final. The University may reserve right to inspect such collage or Institution every year, or as and when it deems fit.
- 2) If Research Center fails to submit continuation proposal on or before 31<sup>st</sup> October, then 10 % late fee will be charged every month after due date up to three months. After this period, proposal shall be accepted with permission of the Vice Chancellor with above late fees and fine as may be notified by the University, from time to time.
- 3) Incomplete proposals shall not be considered by the University and may be returned to the concerned Research Center, and the Research Center shall be solely responsible for the same.
- 4) The rules prescribed by the University in view of Local Inquiry Committee (L.I.C.) shall, mutatis mutandis, be applicable to the Institution's recognition as M.Phil. and Ph.D. Research Center.

**36. Miscellaneous: -**

- 1) The subjects of Health Sciences, in any of the faculties of Medicine, Dentistry, Ayurved and Unani, Homoeopathy and Allied Health Sciences, which are more particularly described in [Annexure-I](#) in the list of subjects, may be amended by the University, incorporating new subjects in the list, from time to time.

- 2) The necessary fees to be charged at various stages of the entire process shall be such as may be prescribed by the University, from time to time, which shall be notified separately on the University website.
- 3) The M.Phil. and Ph.D. Scholar shall not claim Degree of M.Phil. and Ph.D., merely on the basis of his admission to the M.Phil. and Ph.D. Course or his appearance in the Open Viva- Voce and Defense.
- 4) Ordinarily degree of Ph.D. shall not be awarded unless there is Significant contribution made by the Scholar to the existing scientific knowledge.
- 5) The Rules and Regulations of the UGC promulgated for award of M.Phil. and Ph.D. Degree in Health Sciences from time to time, shall be adopted and be applicable. The University shall alter or amend any rules or provisions in this direction, accordingly, at any stage and they shall be final and binding.
- 6) In respect of the matters relating to the subject dealt in this Direction but which are not specifically covered under this Direction, if any query regarding the interpretation of any clause of this Direction arises, then it shall be decided by the Vice-Chancellor and the decision of the Vice-Chancellor shall be final and binding.
- 7) This Direction shall remain in force till an Ordinance is made in that behalf by the University and assented by the Hon'ble Chancellor.
- 8) The gender 'he' shall mean male gender and it shall include all the other genders.

**Sd/-**

**Date:- 07/01/2020**  
**Place:- Nashik.**

**Prof. Dr. Deelip Mhaisekar,**  
**Vice-Chancellor.**