



# KRISHNA INSTITUTE OF MEDICAL SCIENCES DEEMED UNIVERSITY, KARAD

Accredited by NAAC with 'A' Grade (CGPA: 3.20 on 4 Point Scale)  
An ISO 9001:2008 Certified University

Declared U/s 3 of UGC ACT, 1956 vide Notification no.F.9-15/2001-U.3 of the Ministry of Human Resource  
Development, Govt. of India

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## **Notification**

**Minimum standards and procedure for Award of**

**PH.D. Degrees**

**In the Faculty of**

**MEDICINE**

**DENTISTRY**

**NURSING**

**PHYSIOTHERAPY**

**PARAMEDICAL SCIENCES &**

**INTERDISCIPLINARY HEALTH SCIENCES**

**Including ALLIED SCIENCES**

**PRESCRIBING ELIGIBILITY CRITERIA, PROCEDURE FOR REGISTRATION OF CANDIDATES, APPROVAL OF RESEARCH TOPICS, And SUBMISSION OF THESIS AND ITS EVALUATION FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) IN THE FACULTY OF MEDICINE/ DENTISTRY/NURSING/PHYSIOTHERAPY/PARAMEDICAL SCIENCES & INTERDISCIPLINARY HEALTH SCIENCES INCLUDING ALLIED SCIENCES AS PER APPLICABILITY.**

**PREAMBLE:-**

The Department of Human Resource Development, Government of India, on the recommendation of the University Grants Commission (UGC) has accorded the status of a Deemed University to Krishna Institute of Medical Sciences, Karad for the Faculty of Medicine/Dentistry/ Nursing/Physiotherapy/Paramedical Sciences/ Paramedical Sciences & Interdisciplinary Health Sciences including Allied sciences.

The Degrees, Diplomas and the Certificate courses including Ph.D. of Krishna Institute of Medical Sciences (Deemed University), Karad shall have the same status as of those conferred by any Statutory University duly recognized by the University Grants Commission. (UGC).

AND

Whereas the UGC has revised the Norms and standard to regulate the Ph.D. in respect to procedure for Award of M.Phil. / Ph.D. regulation in 5<sup>th</sup> May 2016 as notified by MHRD (UGC).

This notification is issued to regulate Ph.D. courses in this university after its approval from Academic council dated 18 November 2016 and Board of Management of the university on dated 19.November 2016.

**1. Short title, applicability and commencement:**

These Byelaws shall be called **“Eligibility Criteria, Procedure for Registration of candidates, Approval of Research Topics, Submission of thesis and its evaluation for the award of Degree of Doctor of Philosophy (Ph.D.) in the Faculty of Medicine/Dentistry/Nursing/Physiotherapy/Paramedical Sciences & Inter-disciplinary Health Sciences, and Allied Sciences”**.

These Byelaws shall be applicable to the PhD programs of all the faculties of the University mentioned in the previous paragraph.

These Byelaws shall come into effect from the date of approval by the Board of Management of the University. These Byelaws shall supersede all corresponding earlier regulations/ ordinances including Byelaws of the University.

**2. Definitions:**

- (a) **“All India Ph.D. Common Entrance Test (AIPHDCET)”** means the test conducted by the Competent Authority designated by the Krishna Institute of Medical Sciences (Deemed University), Karad in accordance with the applicable rules.
- (b) **“Constituent College”** means a College conducted and managed by the University.

- (c) **“Department”** means a teaching department offering Post Graduate courses in the constituent colleges of the University.
- (d) **“Head, Place of Research”** means the Dean/Principal/Director of the constituent College.
- (e) **“Place of Research”** means all the constituent Colleges of the University having eligibility to be recognized to carry out the research
- (f) **“University”** means the Krishna Institute of Medical Sciences (Deemed University), Karad.

3. **Categories of Ph.D. Candidates:**

The candidates admitted to the Ph.D. programme of this University would be categorized as follows:

(a) **Category - A**

Research scholar who is Senior or Junior Research Fellow or any other candidate who shall commit himself / herself full time to carry out his/her research work at the recognized place of research.

(b) **Category – B**

(i) A candidate, who is a teaching faculty employed at the constituent college of the University and shall pursue his/ her full time teaching faculty work as well as Ph.D. Research Studies simultaneously.

(ii) A candidate, who is admitted to fellowship courses or other courses of the University may pursue his/her regular studies simultaneously with the Ph.D. programme.

Provided further that he/she shall complete all the formalities of Ph.D. Registration in the first year of his admission to the fellowship course / other courses of the University.

(iii) A candidate who is in service as full time teacher / employee in any other Educational Institute / Industry / Research Organization and has also a minimum of three years of Teaching / Research experience.

Provided firstly that the candidate who is full time teacher / employee sponsored by his / her employer shall be considered only if he / she is granted study leave for a period of two years to fulfill the mandatory requirements as laid down by the University.

Provided secondly that the candidate shall be required to submit “No Objection Certificate” from his/her employer

Provided further that such candidate should belong to the area of jurisdiction of the university.

4. **Subject to the compliance with the requirement of these Byelaws an applicant fulfilling the following criteria shall be eligible for registration for the Ph.D. Degree of this University; if he/she**

- (a) Has passed Post Graduate Degree (Master's Degree) Examination of the University or an examination recognized as equivalent thereto as the Master's Degree by the corresponding statutory regulatory body in the concerned / relevant subject with at least 55% marks in aggregate or its equivalent Grade Point Average (GPA). The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned below are permissible based only on the qualifying marks without including the grace marks procedures.

Provided that the relaxation of 5% of marks from 55% to 50%, or an equivalent relaxation of grade shall be allowed for those belonging to SC/ST/VJ-NT (Non-creamy layer)/OBC(Non-creamy layer)/differently-abled and other categories of candidates as per the decision of the UGC from time to time, or for those who had obtained their Master's Degree prior to 19<sup>th</sup> September, 1991.

**OR**

Has cleared the M.Phil Coursework of this University in the concerned / relevant subject with at least 55% marks in aggregate or its equivalent Grade Point Average (CGPA) and successfully completing the M.Phil degree shall be eligible to proceed to do Research Work leading to the Ph.D degree in the same University in an Integrated Programme. A relaxation of 5% or an equivalent relaxation of grade shall be allowed for those belonging to SC/ST/VJ-NT (Non-creamy layer)/OBC (Non-creamy layer)/differently-abled and other categories of candidates as per the decision of the UGC from time to time.

Provided that the candidate who's M.Phil. Dissertation has been evaluated and Viva-Voce is pending may be admitted to the Ph.D. programme of the same University.

Provided that an applicant shall be eligible for registration in Ph.D. for research either in the subject in which he / she has passed his / her Post Graduate Degree /M.Phil. Degree Examination or in the appropriate interdisciplinary area.

Provided that for the Ph.D. programme in the specialties of Clinical Biochemistry, Clinical Microbiology and Medical Biotechnology and allied subjects, a candidate who has passed M.Sc. / M. Pharm. Examination from this University with 55% marks or corresponding equivalent grade shall be eligible for registration.

Provided further that the applicant belonging to Category- B (iii) shall submit his / her experience certificate and employer's written undertaking stating that the applicant shall be relieved to enable him / her to complete the course work and if registered, study leave for a period of two years to fulfill the mandatory requirement as laid down by the University shall be granted to him / her.

**AND**

Has secured at least 50% marks in the All India Ph.D. Common Entrance Test (AIPHCET) of the University.

**5. Procedure for Admission:**

All India Ph.D. Common Entrance Test for admitting the students to Ph.D. course ordinarily shall be conducted twice a year, by the University preferably on 3<sup>rd</sup> Sunday of January & June as per the guide lines notified by the University Grants Commission from time to time.

The rules and regulations framed by the University governing conduct of All India Ph. D. Common Entrance Test (AIPHCET) are annexed at **Annexure-I**.

**Tentative Schedule for Admission to PhD program**

<b>Sr. No.</b>	<b>Details of admission process of Ph.D.</b>	<b>Date schedule for January Batch</b>	<b>Date schedule for June batch</b>
1	The notification for the entrance test to be published on Website / Advertisement	15 <sup>th</sup> October	15 <sup>th</sup> April
2.	Submission of Entrance Test application form to the University	30 <sup>th</sup> October	31 <sup>st</sup> May
3.	Day of conduct of AIPHCET	3 <sup>rd</sup> Sunday of January	3 <sup>rd</sup> Sunday of June
4.	Declaration of Result of AIPHD CET	31 <sup>st</sup> January	30 <sup>th</sup> June
5.	Uploading of the list of eligible candidates on the University website and display at the University Campus	5 <sup>th</sup> February	5 <sup>th</sup> July
6.	Submission of application form for Ph.D. Registration by Scholars along with processing fees	15 <sup>th</sup> February	15 July
7.	Submission of Research Synopsis in quadruplicate and Provisional Registration form in single copy by the scholars in consultation with the Supervisor for consideration of the Departmental Research Committee and certification by the Research Guidance Cell	20 <sup>th</sup> March	20 <sup>th</sup> August
8.	Submission of Research Synopsis in quadruplicate and Provisional Registration form in single copy by Departmental Research Committee to the Ph.D. Cell	31 <sup>st</sup> March	30 <sup>th</sup> September
9.	Submission of Research Synopsis by Ph.D. Cell to Institutional Ethical Committee	7 <sup>th</sup> April	7 <sup>th</sup> October
10.	Clearance from the Institutional Ethical Committee/ Institutional Animal Ethical Committee(if applicable) and submission to the Ph.D. cell	30 <sup>th</sup> April	31 <sup>st</sup> October

11.	Submission of provisionally approved synopsis and Provisional Registration form to C.O.E. by the Ph.D. cell	15 <sup>th</sup> May	15 <sup>th</sup> November
12.	Meeting of the Doctoral Research Committee for approval of Research Synopsis	31 <sup>st</sup> May	30 <sup>th</sup> November
13.	Letter of Registration to be issued by the University	30 <sup>th</sup> June	31 <sup>st</sup> December
14.	The term shall commence from	1 <sup>st</sup> July	1 <sup>st</sup> January
15.	The result of AIPHDCET shall be valid till	31 <sup>st</sup> December or one year from the date of declaration of the result.	31 <sup>st</sup> May or one year from the date of declaration of the result.

#### 6. **Processing of the admissions:**

- a) The eligible candidates shall submit the provisional application form and original documents for verification along with prescribed fee to the Convener, Ph.D. cell as per the tentative schedule.
- b) The candidate shall provisionally choose the Supervisor & Co-Supervisor from the approved list of Supervisors & Co-Supervisors recognized in the concerned subject displayed on the website.
- c) He / she shall submit the Research Synopsis in quadruplicate in consultation with his/ her supervisor, which shall be routed through respective Head of the Research place.
- d) In case of the research being included under the Faculty of Interdisciplinary Sciences, Ph.D., the Research proposal will be submitted to the Departmental Research Committee of the parent department from where the proposed research work is planned to be carried out.
- e) The scholars registered for Ph. D shall be governed by the fee policy as prescribed by the University from time to time.

#### 7. **Research Proposal (Synopsis)**

The 'Research Proposal' (Synopsis) shall include in detail the proposed research area and the plan of action.

The topic chosen should be need based and should bear high academic standards. The time at the disposal of research should be taken note of before framing objectives and methodology of the research project.

- a) **The research proposal** (Synopsis) should highlight proposed research plan clearly stating following points:
  - i. Introduction to the proposed research
  - ii. Literature search
  - iii. Research Gaps identified
  - iv. Aim and Objectives of the study

- v. Detail Methodology
  - vi. Research plan schedule including Gantt chart.
  - vii. Undertaking stating that the research planned by the scholar has not been carried out in any part of the country.
  - viii. Scope and Implication/s of the proposed study.
  - ix. Amount and source of Funding, if needed.
  - x. Scope for further studies
  - xi. References
- b) The research proposal (Synopsis) should be self-explanatory, about 10-15 pages, printed on A4 size paper with 1 inch margin on all sides. Font type should be Arial /Times New Roman. Font size for headings should be 14 bold, Sub-headings 12 bold and text should be 12 normal. The line spacing should be 1.5. The references should be in Vancouver format and should be cited in the text.
- c) The format of Research Proposal (synopsis) shall be as under:
- A. Cover page:**
- i. The subject of the proposed research work
  - ii. Detailed outline of the proposed research work.
  - iii. Name of the Scholar, Department/College
  - iv. Evidence of the Scholar's qualification.
  - v. Name of the Supervisor/Co-Supervisor, Department/College.
- B. Text:**
- i. Introduction, Rationale
  - ii. Aim & Objectives
  - iii. Review of Literature
  - iv. Methodology / Material & Methods in details – (settings, research design, participant, sampling procedure, sample size, data collection tools and process, variables, definitions, analysis plan etc.)
  - v. Scope, Limitations, Implications (Probable)
  - vi. References
- d) The Research Proposal (synopsis) of the proposed research work shall be placed before the Departmental Research Committee and the Scientific Scrutiny Committee for obtaining the clearance.
- e) Further the Research proposal (synopsis) along with the prescribed Provisional Registration form duly endorsed by the Supervisor/Co-Supervisor, Chairman-Departmental Research Committee, Chairman – Scientific Scrutiny Committee, Concerned HOD, shall be forwarded by the Dean/Principal of the Institution to the Ph.D. Cell. In case the research is included under the Faculty of Interdisciplinary Sciences, it shall also be endorsed by the Dean, Faculty of Interdisciplinary Sciences.
- f) The Research proposal (synopsis) duly cleared by the Institutional Ethical Committee shall be forwarded to the Controller of Examinations of the University along with the Provisional Registration form.

- g) In case the Research includes interventional studies involving animals or humans, the research proposal (synopsis) shall also need to be cleared by the Institutional Animal Ethical Committee.
- h) The Institutional Ethical Committee shall ensure that the Research proposal (synopsis) shall satisfy the statistical requirements in respect to the sample size, proposed analysis of the data, method of study and repetition of topic of study in any form.
- i) The research proposal (synopsis) shall enclose all the relevant annexure namely consent forms, tools, questionnaires, support letters.
- j) The Controller of Examinations shall finalize the schedule of Doctoral Research Committee (DRC) meetings in **consultation with the Convener Ph.D. cell**

## **8. Composition of the Doctoral Research Committee (DRC)**

The **Doctoral Research Committee** shall include following members:

- i. Vice Chancellor (Chairman)
- ii. Controller of Examination (Member Secretary)
- iii. Officials of Research Cell as Nominated by Vice Chancellor
- iv. Dean of the faculties
- v. The Chairman of the Board of Studies in the subject concerned
- vi. The H.O.D. of the subject concerned
- vii. Two subject expert from outside the University nominated by the Vice-Chancellor.

## **9. Procedure for approval of Research proposal (Synopsis)**

- a) The candidate shall present his/her synopsis before the Doctoral Research Committee in presence of the Supervisor/ Co-Supervisor as per the scheduled dates and the Doctoral Research Committee shall submit its report as 'recommended' or 'rejected' or 'recommended with necessary modifications' to the Controller of Examinations.
- b) Rejection of the synopsis by the Doctoral Research Committee amounts to annulling of the eligibility of the scholar for admission to the Ph.D. programme. The scholar in case is again interested in seeking registration for the doctoral degree would be eligible only upon following the sequence beginning from taking the entrance test and further course of action.
- c) Revision of the synopsis, if recommended by the Doctoral Research Committee shall mandate the said revision to be completed by the scholar within the prescribed time and resubmission of the same with due affixation of the signature of his supervisor routed through the Head of the Department and Head of the Institution respectively.



- d) The **‘revised’** synopsis shall be considered by the Doctoral Research Committee within an assigned period and shall be either accepted or rejected without any further revision thereon. The said process shall be completed as early as possible and accordingly the scholar shall be registered for the Ph.D. program.
- e) In case of **‘rejection’** of the revised research proposal (synopsis) no further opportunity for revision would be accruable to the applicant and the claim for admission to the doctoral degree course shall come to an end.

**10. Registration of the Scholar:**

- a) The recommendations of the Doctoral Research Committee in respect of all Scholars shall be placed in the ensuing meeting of the Academic Council for its approval.
- b) Upon approval by the Academic Council, the names of the candidates shall be registered as a Research Scholar of the University. He/she shall pay to the University fees for registration and other fees as may be prescribed from time to time.

(i) Acceptance of the synopsis by the Academic Council contemplates the approval of registration of the Researcher by the university. The term of the candidate whose synopsis is approved by the Academic Council, shall commence w.e.f. 1<sup>st</sup> July of the concerned year /1<sup>st</sup> January of the forthcoming year for the candidates from the January & June Batch respectively.

(ii) The doctoral research shall be carried out by the candidate only at the recognized places of research of the university.

(iii) No candidate shall apply for registration as a research scholar for Doctoral degree in a subject or at any other university, if he/she is already registered in another subject unless.

- a. he/she has submitted his/her thesis for evaluation in the other Subject;

**OR**

- b. his/her name has been removed from the roll of a Register for the Research scholars of that subject.

**11. Course work / Research & Methodology Workshop:**

The course work shall be treated as prerequisite for Ph.D. preparation. All the candidates admitted to the Ph.D. programme shall be required to compulsorily undergo course work / training workshop on Research Methodology as prescribed below during the initial one or two semesters. The Director, Research cell in consultation with available faculties shall conduct the said workshop. The course work of the workshop shall consist of following modules and the candidates will be assessed on CGPA system of evaluation. There shall be total 12 credits for this workshop and the candidates should secure at least 8 credits in this workshop.

The candidates already holding M. Phil. Degree and admitted to the Ph.D. Programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, shall be exempted from the Ph.D. course work.

This course work / workshop shall be conducted preferably before **28<sup>th</sup> February/ 31<sup>st</sup> July** every year for the January & June batch respectively.

The details of the module will be as under.

### **Module for Research & Methodology workshop**

<b>Section</b>	<b>Title</b>	<b>Total Credits</b>	<b>Contact hours</b>
I	Research Methodology Quantitative/Qualitative Techniques and /or Numerical Methods	8	24 hours
II	Literature review/presentations	4	12 hours
<b>TOTAL</b>		<b>12</b>	<b>36 hours</b>

#### **12. Eligibility of Research Supervisor and Co-Supervisor:**

1) Any regular Professor of the constituent colleges of the University with at least five research publications in referred journals and any regular Associate/Assistant Professor of the constituent colleges of the University with a Ph. D. Degree and at least two research publications in referred Journals shall be recognized as Research Supervisor.

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

2) Only a full time regular teacher of the constituent colleges of the University can act as Supervisor. The External Supervisors are not allowed. However, Co-Supervisor can be allowed in interdisciplinary areas from other departments of the same constituent colleges of the University or from other related colleges / institutions with the approval of Doctoral Research Committee.

3) The allocation of Research Supervisor for a selected research scholar shall be decided by the department concerned depending on the number of scholars for Research Supervisor / the available specialization among the Supervisors and Research interests of the scholars as indicated by them at the time of interview / viva-voce.

4) In case of topics which are of interdisciplinary nature where the department concerned feels that the expertise in the department has to be supplemented from outside, the department may appoint Research Supervisor from the department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the

Department / Faculty / College / University on such terms and conditions as may be specified and agreed upon by the consenting Universities / Colleges.

5) A Research Supervisor / Co-Supervisor who is a Professor / Associate Professor / Assistant Professor shall, at any given point of time, have not more than **Eight** (8) Ph.D. Scholars, six (6) Ph.D. Scholars and four (4) Ph.D. Scholars respectively enrolled under him / her taken together under any faculty.

### **13. Change of Supervisor**

A scholar shall complete his/her doctoral research under the supervision of his/her Supervisor. However in exceptional circumstances, the scholar may be permitted by the Doctoral Research Committee, on recommendation of Supervisor to transfer his/her registration from one research supervisor to another by due record of reasons.

Provided the first supervisor gives No Objection Certificate for such a transfer and the research supervisor under whom the transfer is sought gives his/her consent to accept to supervise the candidate shall be a condition precedent.

Provided further that in the case of such a transfer a scholar shall have to work for a minimum period of one year before he/she is allowed to submit his/her thesis. In case there is any controversy between the scholar and the Supervisor the matter may be forwarded to the Vice-Chancellor whose decision shall be final, binding and conclusive in the matter.

- a) Whenever a research supervisor leaves the University / Constituent College/ Institute or retires from service but continues to be recognized as the research supervisor, the Doctoral Research Committee through the Dean of the concerned faculty shall, after ascertaining the choice of the scholar permit him/her either to continue work under the supervision of the same research supervisor provided he/she has kept two terms under his supervision or to work under another research supervisor.
- b) In case 50% or more work has been completed by the scholar under the first supervisor, a recognized co-supervisor may be appointed to supervise the remainder work of the scholar. However, the name of the Co-supervisor shall be mentioned in the thesis along with the name of co-supervisor.
- c) In case of no work being done under a Research Supervisor except for the Research Synopsis being submitted, the scholar may be allowed to opt and apply for a new supervisor in accordance with the specialization.

### **14. Progress Report**

- a) All the registered scholars shall submit the progress report in the specified format to the Head of Department of constituent college/ institute, through their research supervisors after every six months which further shall be submitted to the Ph.D. cell. The Ph.D. cell shall forward the progress report to the Controller of Examinations for placing it before the Doctoral Research Committee to review and assist in the progress of research work of the research scholar. A research scholar shall appear before the Doctoral Research Committee to make a presentation of the progress of his / her work for evaluation and further guidance. The six monthly progress report shall be submitted by the Doctoral Research Committee to the Academic Council with a copy to the research scholar along with its suggestion. In case the progress of the research scholar is unsatisfactory, the Doctoral Research Committee shall record the

reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Doctoral Research Committee shall recommend to the Academic Council with specific reasons for cancellation of the registration of the research scholar.

- b) In case the scholar fails to submit progress report for two consecutive terms as stated above he/she shall be asked to furnish the reasons, if any, for the same within period of one month, upon which all such cases shall be placed before the Doctoral Research Committee for recommending appropriate decision thereon to be taken by the Academic Council.
- c) The report on the receipt of six monthly progress reports received from the scholars shall be placed before Academic Council by the Controller of Examinations for its consideration and appraisal.
- d) The Scholar shall pay retention fees every six months for retaining his/her name on the register of research scholars. Failure to remit the retention fees within scheduled date shall result in charging late fee as per the university rules in vogue for each term.
- e) The date for submission of six monthly progress reports and payment of six monthly retention fees shall be **31<sup>st</sup> January and 31<sup>st</sup> July every year.**
- f) The Scholars shall submit a minimum of 4/6 “satisfactory” progress reports mandatorily for the award of PhD degree.
- g) In case the Scholar fails to complete all formalities like submission of required documents & fees, the thesis shall not be processed further.

#### **15. Duration of the Research:**

The computation of the period of the Research would begin from the date of registration i.e. from the date of commencement of the term up to **6 years** with an entitlement accruable to him/her that the thesis embodying his/her research would not be submitted for evaluation before the completion of at least **three years.**

Provided that the women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

- a) Every scholar shall submit his/her thesis within a period of Six years from the date of registration as approved by the Academic Council. The names of the scholars failing to submit their theses within the prescribed period shall be removed from the register of research.
- b) The maximum duration of the programme may be extended only on renewal of the registration by the Research Scholar.

#### **16. Renewal of Registration:**

- a) The Scholar who has failed to submit his/her thesis within the specified period of Six years and whose name is removed from the register of research may renew his/her registration for the purpose of completion of the Research by paying the registration fees and any other fees as applicable & prescribed by the University.

- b) The scholar shall be entitled for a term of another Six years by virtue of renewal of his/her registration.
- c) The Scholar after renewal of his/her term can submit the thesis before the completion of the maximum period of Three years but not earlier than a period of one year.

**17. Cancellation of Registration:**

- a) The registration of the scholar may be cancelled on the recommendations of Doctoral Research Committee for lack of satisfactory progress report as submitted by Research Supervisor or Head of the Department even after giving due opportunities to the scholar for defending his/her case.
- b) The registration may also be cancelled if the scholar fails to submit the thesis before the maximum stipulated time and for non-payment of fees or any other infirmity acquired by him / her during the period of the Research Programme.
- c) The decision of Vice-Chancellor in respect of cancellation of registration shall be final, binding and conclusive.

**18. Pre-submission mock open defense viva-voce:**

Before submission of the Ph.D. thesis, the scholar shall compulsorily appear for a pre-submission mock Open defense viva-voce to be adjudged by the Jury Committee. The Jury Committee shall critically appraise the thesis work and make required suggestions, if any on the conducted research work for the purposes of value addition. The Ph.D. scholar shall appropriately incorporate the said suggestions in compilation of his/her research work.

- a) The composition of the Jury Committee shall be as under:
  - i. Two subject experts from other local institutes.
  - ii. Officers from Research Cell.
  - iii. Dean Academics – all the faculties.
  - iv. Dean Administration – all the faculties.
  - v. Ph.D. Supervisor and/or Co- supervisor, if any.
  - vi. Other subject experts from the relevant departments, as per invitation.
  - vii. H.O.D. of the relevant departments.
  - viii. Statistician.
- b) There should be a minimum period of three months between the intimation for the pre-submission mock open defense viva-voce by the scholar and the last date of final submission of the Ph.D. thesis as stipulated by the University.
- c) It would be the responsibility of the Ph.D. Scholar and Supervisor to intimate the concerned Dean Academics regarding his / her readiness to undergo the pre-submission mock defense viva-voce.

- d) Three rough drafts of the thesis and summary as a soft copy should be submitted at the time of intimation by the Ph.D. Scholar, which shall be sent 10 days in advance to the subject experts from other local institutes and other jury members.
- e) Along with the draft thesis, the scholar shall also submit at least one research paper published in referred Journal and two recent research papers presented in conference/seminar and produced evidence for the same in the form of presentation certificates and/or reprints.
- f) All the Faculty members, prospective Ph.D. scholars and their Supervisors of all the faculty/discipline shall attend the pre submission and final Ph.D. open defense viva-voce of their immediate seniors for their appropriate orientation.

#### **19. Publications:**

The research scholar must have at least one research paper published in referred Journal and two recent research papers presented in conferences / seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and / or reprints during the course of Ph.D.

#### **20. Specification of thesis:**

- a) The scholar shall submit **four** copies of his/her thesis which may either be typed or printed along with a soft copy in PDF Format. He / She shall also submit along with his/her thesis four copies of executive summary of his/her thesis.
- b) It must be a piece of research work characterized either by the discovery of new facts or by a fresh approach towards the interpretation of facts or theories. In either case it should evince the scholar's capacity for critical examination and sound judgment. The scholar shall communicate how far the thesis embodies the result of his/her own observations and in what respects his/her investigations present advance knowledge in the subject
- c) It shall be satisfactory on the point of language and presentation of the subject matter.
- d) The scholar shall indicate generally in a preface to his/her thesis and specifically in notes, the sources from which his/her information is taken, the extent to which he/she has availed himself/herself of the work of others and the portions of the thesis which he/she claims as original.
- e) The scholar may submit as subsidiary matter, in support of his/her candidature any contribution or contributions to the advancement of the study of the subject of his/her thesis which he/she may have previously published independently or conjointly with others.
- f) The thesis should be printed on one side A4 size paper with 1 inch margin on all sides. Font type should be Arial /Times New Roman. Font size for headings should be 14 bold, Sub-headings 12 bold and text should be 12 normal. The line

spacing should be 1.5. The references should be in Vancouver format and should be cited in the text.

g) The format of the thesis shall be as under:

**A. Front Cover:**

- i. The title of the research work
- ii. The subject & faculty of the research work
- iii. Name of the Scholar, Department/College
- iv. Name of the Supervisor/Co-Supervisor, Department/College.
- v. Evidence of the Scholar's qualification.

**B.** Cover page, Preface, Declaration of the scholar regarding originality of work & earlier partial/complete submission to the University, Certification from the Supervisor/Co-Supervisor, Declaration of the Supervisor/ Co-supervisor regarding originality & working of the scholar under his/her guidance, Acknowledgements, List of Case laws if applicable, List of Tables/ Maps/Diagrams & Figures, Abbreviations & Table of contents (To be bound in the specific order)

**C. Text:**

- i. Introduction inclusive of the Rationale & Problem/Need of the study
- ii. Aim & Objectives
- iii. Hypothesis
- iv. Review of Literature
- v. Methodology / Material & Methods in details – (settings, research design, participant, sampling procedure, sample size, data collection tools and process, variables, definitions, analysis plan etc.)
- vi. Scope, Limitations, Implications (Probable)
- vii. Discussion
- viii. Conclusions
- ix. Possible contributions & translator component of the study
- x. Executive Summary
- xi. Future Scope of Study
- xii. References & Bibliography
- xiii. Annexure

h) The Doctoral Research Committee at the time of appointment of referees, shall submit a detailed report in the prescribed proforma, on above points to be placed before the Vice-Chancellor on behalf of the Academic Council.

**21. No dues Certificate:**

The Ph.D. scholar shall undertake research work and produce a thesis within a prescribed time and shall be required to submit the thesis along with prescribed evaluation fees and necessary “**No Dues Certificate**” from the department/institution/library/laboratories and any other place where the candidate has carried his/her research work.

**22. Declarations:**

**A. Declaration by the Supervisor/Co-Supervisor:**

When the thesis is ready for submission to the examiners, he/she shall also certify that the work presented in the thesis has been carried out under his/her supervision and that it is candidate's own work.

**B. Declaration by the Scholar:**

- a. The scholar shall be required to submit a signed declaration that the thesis submitted to the University is an original work.
- b. The scholar shall be required to submit a signed declaration that the thesis submitted is not substantially the same in full/ in part as the one which has already been submitted by him/her to this or any other University or Institution.

**23. Appointment of Referees:**

- a) On receipt of the copies of the thesis in the University, the Board of Studies shall constitute a panel of not less than **ten referees**. The Doctoral Research Committee shall select not less than **six referees** from the said panel, and in accordance with the category of examiner. i.e. within the state, within the country and outside the country (minimum two from each category)

Provided that the panel shall be recommended in such a fashion so as to include at least two referees other than host university and within the state, four referees outside the state and at least four referees outside India (Wherever available).

Provided further that if the referees outside India are not available, the panel shall recommend all the referees from outside the state.

Provided also that care shall be taken to avoid reciprocal appointment of referee's vis-à-vis the supervisor at least for a period of five years.

- b) The panel recommended by the Doctoral Research Committee shall be placed before Vice-Chancellor, who shall recommend the names of the referees in chronological order.
- c) The scholar's thesis and any other contribution to the study of the subject of his/her thesis which he/she may submit shall be referred to three external referees (category wise) appointed by Vice Chancellor.
- d) The Controller of Examinations of the University shall ascertain from the external referees their willingness to be an examiner for the particular thesis within one month. On receipt of the willingness a copy of thesis shall be sent to the referees within 15 days.

**24. Evaluation of Thesis:**

- a) The referees shall evaluate the thesis preferably within a period of one month from the date of the receipt of the thesis and report to the University in the prescribed format provided to them.



- b) The reports must contain a critical evaluation of the thesis and a clear recommendation as to whether it has attained the desired standards.
- c) Their recommendations for acceptance of the thesis must accompany a precise certificate that the candidate's work has advanced the existing knowledge on the subject and is a standard research work suitable for publication. In case the thesis is rejected by any of the examiner, the precise reasons for such rejection must be stated by the referee. If the referee feels that the thesis can be accepted after a revision, he/she shall state the points on which the revision is needed.
- d) The thesis must be accepted by at least two external referees for the scholar to qualify and appear for the open defense viva-voce of thesis.
- e) In the event that the thesis is accepted by one referee and rejected by the other two referees, it will be referred to another two referees from the approved panel and category of examiner. In case the thesis is approved by at least one referee, it will be considered as unanimously approved. In case the thesis is accepted with revision by one of the two referee then the following procedure shall be followed:

The thesis shall be sent back to the scholar along with the recommendation of the referee, who has suggested revision. In such a case the scholar shall resubmit the revised thesis within one year but not earlier than six months in consultation with his/her Research Supervisor. Thereafter, the revised thesis shall be sent back to the referee who had recommended the revision of the thesis. If the thesis is accepted by the referee then the candidate shall be declared to have become eligible for appearance at the open defense viva-voce.

- f) In case the thesis is accepted by one referee with revision and rejected by the other referees, then the following procedure shall be followed:

The thesis shall be sent back to the scholar along with the recommendation of the referee, who has suggested revision. In such a case the scholar shall resubmit the revised thesis within one year but not earlier than six months in consultation with his/her Research Supervisor. The revised thesis shall be sent to the third referee and shall also to the referee who had recommended the revision of the thesis. If the thesis is accepted by both the referees then the candidate shall be declared to have become eligible for appearance at the open defense viva-voce.

- g) In case all the three referees ask for revision of the thesis, then the following procedure shall be followed:

The thesis shall be sent back to the scholar along with the recommendations of all the referees, who have suggested revision. In such a case the scholar shall resubmit the revised thesis after incorporation of the suggestions of all the referees within one year but not earlier than six months in consultation with his/her Research Supervisor. The revised thesis shall be sent to all the referees who had recommended the revision. If the thesis is accepted by any two of the three referees then the scholar shall be declared to have become eligible for appearance at the open defense viva-voce.

- h) The University shall consider the thesis of the scholar to be rejected if any two of the three referees do not recommend its acceptance.
- i) No scholar shall be given a second opportunity for revising his/her thesis.

**25. Viva-Voce Examination**

On acceptance of the thesis by at least any two out of the three referees the following procedure for ‘open defense viva voce’ shall be followed.

- a) The Controller of Examinations shall fix the date for ‘open defense viva voce’ in consultation with all the referees.
- b) In case of emergency induced on non-availability of any referee, the open defense viva-voce may be conducted in the presence of the consenting referee.
- c) Open defense viva shall be held on the date, time and place stipulated by the Vice Chancellor in presence of referees, Supervisor/Co-Supervisor and other persons to be invited with the prior approval of the Vice-Chancellor. Notification regarding date of the open defense viva-voce shall be issued by the Controller of Examinations, giving 15 days prior notice.
- d) The Scholar shall present his/her original research work in power point format and shall project the utility of his work towards advancement of the existing knowledge in the subject.
- e) The scholar shall be questioned by the referees and other present including invitees with the permission of the Chair.
- f) The result of the open defense viva-voce shall be exclusively decided by the external referees on completion of the Open Defense Viva-voce and they shall submit a report jointly to the Controller of Examinations after concluding the same.
- g) The Controller of Examinations shall declare the result of the open defense viva-voce as per procedure forthwith.

**26. Result of the Thesis:**

- a) The scholar shall be declared eligible for the award of the Degree of Doctor of Philosophy only on the unanimous recommendations by the referees. Notification regarding award of degree of Doctor of Philosophy to the successful candidate will be issued on the day of the Viva-voce.
- b) After issuance of the notification regarding award of degree of Doctor of Philosophy, the following information shall be sent to the Academic Council for information, ‘name of the candidate, the name of the supervisor, the subject of his/her thesis and the titles of his/her published contributions’. On solicitation copies of the reports of the referees on the thesis may be supplied to the scholar and the supervisor(s).
- c) Conferment of degree, however, shall be made at the ensuing convocation. A degree under the seal of the University and signed by the Vice Chancellor shall be awarded to each successful scholar at the ensuing convocation of the University.

- d) Prior to the actual award of the Degree, the Controller of Examinations shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of U.G.C. Regulations, 2016.
- e) The degree certificate so issued shall be designated as Doctor of Philosophy. **However the certificate shall not indicate the subject or specialty.** The title of the thesis shall be indicated in the certificate.

**27. Submission of soft copy of Ph.D. Thesis to U.G.C.:**

After successful completion of the evaluation process and before the announcement of the award of Ph.D. Degree, the university shall submit a soft copy of the Ph.D. thesis to the U.G.C. within a stipulated period, for hosting the same on INFLIBNET, so as to make it accessible to all the institutions/universities/colleges.

**28. Maintenance of Register of Registered Ph.D. Scholars:**

The University shall maintain the register of the scholars who are registered for Ph.D. in the subjects on year-wise basis. The list will be uploaded on the website with details of the name of the registered candidate, Topic of his/her research, name of his/her Supervisor/Co-Supervisor, and date of registration.

**29. Plagiarism**

The plagiarism in the thesis in any form or part thereof shall be viewed seriously and penalized as per University rules and regulations as in vogue.

**30. Interpretation and Power to Modify**

- a. Any doubt or dispute arising out of the interpretation of these Byelaws shall be referred to the Vice Chancellor, whose decision shall be final and binding.
- b. Notwithstanding all that has been stated in the Byelaws, the University shall have the right to modify any of the above clauses from time to time with prospective or immediate effect, as the case may be.

**31. General:**

Notwithstanding anything contained in this Byelaw, all Research Scholars shall be governed by the Code of Conduct and general rules and procedures framed by the University from time to time.

## ANNEXURE-I

### Rules and Regulations for Conducting All India Ph.D. Common Entrance Test (AIPHDCET) of the University

In terms of the mandatory requirement of Entrance Test to be conducted to ascertain eligibility of the candidates for registration for the Ph.D. programme as prescribed in the UGC guidelines notified in September 2009, the All India Ph.D. Common Entrance Test (AIPHDCET) shall be conducted by Krishna Institute of Medical Sciences (Deemed University).

The successful applicants in the said examination shall be eligible for registration for the Doctoral program subject to clearance of their research topic by the Institutional Ethics Committee, the Doctoral Research Committee and the Academic Council of the University. Thus, the nature of this test is different from the All India UG & PG entrance examinations wherein an inter-se merit list is prepared after the declaration of the results and then the admissions are materialized. The AIPHDCET would also ascertain the eligibility of the candidates and the registrations to the Ph.D. course subject to the approval of their research topics by the Doctoral Research Committee and by the Academic Council of the University.

As such, the Rules for conducting AIPHDCET shall be as under:

1. Short title, applicability and commencement:
  - (a) These rules may be called “Rules” for conducting All India Ph.D. Common Entrance Test (AIPHDCET) for admission to Programme of Doctor of Philosophy”.
  - (b) These rules and regulations shall be applicable to the candidate appearing for AIPHDCET for admission to the programme of Doctor of Philosophy.
  - (c) These rules shall come into force with immediate effect and shall be applicable from the Academic year 2016-17. These rules shall supersede all corresponding earlier guide lines/rules of the University. Any dispute arising out of these rules shall be limited to exclusive jurisdiction of Karad Courts only.
2. AIPHDCET shall be conducted twice in the calendar year preferably on 3<sup>rd</sup> Sunday of January and June.

3. The AIPHCET shall be conducted by the Competent Authority which shall be designated by the Board of Management of the University for each Entrance Test.
4. The Competent Authority shall constitute an examination committee that shall be responsible for conduct of the examination, valuation of paper and declaration of results thereof.
5. The details regarding the All India Ph. D. Common Entrance Test (AIPHCET) and the number of vacancies in each faculty shall be notified by the University well in advance on the University website and through advertisement in at least TWO National Newspapers, of which at least ONE shall be in the Regional Language.
6. The notification for the AIPHCET shall include the time and place of examination, syllabus, scheme of examination, eligibility criteria, process of admission, enrolment procedure, predetermined & manageable number of PhD scholars to be admitted depending on the number of available supervisors, specialities in which the registrations/ admissions can be made and all such cogent information necessary for application for Ph. D. programme.
7. The candidate desirous to appear for AIPHCET shall apply online in the prescribed format for admission to Ph.D. program on the University website as per admission notification and print outs of the application form along with certificates and prescribed fee in the form of Demand Draft drawn in favor of “Krishna Institute of Medical Sciences (Deemed University)” payable at Karad shall be received in the office of the University at Malkapur, Karad. These forms shall be scrutinized by the Examination Committee and statement shall be prepared showing all particulars of the applicants. The Examination Committee shall publish the list of all the eligible candidates of AIPHCET along with their roll numbers on University website.
8. The Examination Committee shall provide only ONLINE admission cards to all the candidates within the prescribed period.
9. The AIPHCET shall be conducted at the examination center(s) proposed by the AIPHCET Examination Committee and approved by the designated Competent Authority.
10. The Center In charge shall be appointed by the designated Competent Authority.
11. The Center In charge shall submit a list of supervisors for approval of the designated competent authority.
12. The supervisors shall supervise the smooth conduct of examination. There shall be one supervisor for every batch of 30 students or part thereof.

13. The question paper of the entrance test shall be for 100 marks which shall comprise of 100 MCQs, the allotted time for which would be 100 minutes.  
The question paper shall comprise of questions based on-
  - (a) Questions pertaining to Research methodology -50
  - (b) Questions pertaining to the specific subject –50
14. The valuation of answers shall be done by the software developed by the University.
15. The valuation of answers shall not be made by the negative marking system.
16. The candidate shall be declared successful if he/she secures minimum 50% of marks in the AIPHCET.
17. The result of the AIPHCET conducted shall be valid up to one Calendar Year from the date of declaration of result.
18. AIPHCET being one of the eligibility criteria for Ph.D. Registration, the declaration of the candidate to be successful in AIPHCET shall not guarantee his/her registration for the Doctoral Degree Programme.
19. The Chairman and other committee members of AIPHCET Examination Committee and other required ministerial staff shall be paid remuneration as may be decided by the University from time to time.
20. No person other than the examinee, Center In charge, supervisors, members of the AIPHCET Examination Committee and a person authorized in that behalf by the Chairman, AIPHCET Examination Committee shall be permitted to enter the examination center(s).
21. The list of marks obtained by the candidates shall be certified by the AIPHCET Examination Committee.
22. In case of any grievance of any candidate with respect to the conduct of AIPHCET, the AIPHCET Examination Committee shall be competent authority to decide the dispute.
23. The record of the examination comprising of appointment of Competent Authority, appointment of examination committee, schedule of examination, notification pertaining to the entrance test, minutes of the meetings conducted by the examination committee and the answer sheets of the said examination shall be preserved for a period of three months from the date of declaration of results as is the practice in case of the University formative examinations for UG & PG courses.

24. The result of the test along with name and marks obtained by the candidates and copy of Panchanama pertaining to the documents which have been dispensed off three months after the declaration of results shall be preserved.

Signature  
(Member Secretary PhD Cell)