

*Regulations*  
*for*  
**Ph.D Program**  
*in the Faculties*  
*of*  
**Medical, Dental, Pharmacy, Nursing,  
Physiotherapy, Allied Health  
Sciences, Biological Sciences and  
Humanities**



*(Deemed University under Section (3) of the UGC Act, 1956)*  
*Placed under Category 'A' by the MHRD, Govt. of India*  
*Accredited with 'A' Grade by NAAC*

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# Nitte (Deemed to be University)

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## REGULATIONS FOR Ph.D PROGRAM IN THE FACULTIES OF MEDICAL, DENTAL, PHARMACEUTICAL, NURSING, PHYSIOTHERAPY, ALLIED HEALTH SCIENCES AND HUMANITIES

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### 1. Introduction

- 1.1. These regulations shall be called Nitte (Deemed to be University) Regulations for Ph.D Program and govern the policies and procedures including selection, admission, imparting of instructions, conduct of examinations, evaluation and certification of candidate's performance and all amendments there to. The regulations shall come into effect from the academic year 2018-19.
- 1.2. This set of regulations shall be binding on all the candidates undergoing the said Degree program.
- 1.3. These regulations may be modified from time to time as mandated by the statutes of the University and the Regulatory Authority of the Government/s.
- 1.4. This set of regulations may evolve and get refined or updated or amended or modified or changed through appropriate approvals from the Academic Council and the Board of Management from time to time and shall be binding on all parties concerned including the Candidates, Faculty, Staff, Departments, and Institution Authorities.
- 1.5. All disputes arising from this set of regulations shall be addressed to the Board of Management. The decision of the Board of Management (BoM) is final and binding on all parties concerned. Further, any legal disputes arising out of this set of regulations shall be limited to jurisdiction of Courts of Mangalore only.
- 1.6. Nitte (Deemed to be University) is committed to promote research activities, both in basic and applied aspects, in various subjects under seven different faculties of constituent institutions of this University, namely A. B. Shetty Memorial Institute of Dental Sciences, K. S. Hegde Medical Academy, Nitte Gulabi Shetty Memorial Institute of Pharmaceutical Sciences, Nitte Usha Institute of Nursing Sciences, Nitte Institute of Physiotherapy, Nitte University Center for Science Education and Research Nitte Institute of Communication and Nitte Institute of Architecture.
- 1.7. Ph.D program is offered in the Full-time and Part-time modes under the following faculties covering a wide spectrum of disciplines:



### **1.7.1 MEDICAL FACULTY**

#### **A. Pre and Para-Clinical:**

1. Anatomy
2. Physiology
3. Biochemistry
4. Pharmacology
5. Pathology
6. Microbiology
7. Forensic Medicine

#### **B. Clinical:**

1. Medicine
2. Paediatrics
3. Pulmonary Medicine
4. Dermatology
5. Psychiatry
6. Community Medicine
7. Surgery
8. Orthopaedics
9. ENT & Head & Neck (HNS)
10. Ophthalmology
11. Obstetrics & Gynaecology
12. Anaesthesiology
13. Radiology
14. Cardiovascular and Thoracic Surgery
15. Urology
16. Plastic Surgery
17. Cardiology
18. Neurology
19. Neurosurgery
20. Paediatric Surgery
21. Nephrology
22. Oncology

### **1.7.2 FACULTY OF DENTAL SCIENCES**

#### **A. Pre-Clinical**

1. Dental Anatomy & Oral Histology
2. Dental Material

## **B. Clinical**

1. Prosthodontics
2. Orthodontics
3. Periodontics
4. Oral Surgery
5. Pedodontics
6. Oral Diagnosis and Radiology
7. Conservative Dentistry
8. Community Dentistry
9. Oral Pathology and Microbiology

### **1.7.3 FACULTY OF PHARMACEUTICAL SCIENCES**

1. Pharmaceutics
2. Pharmaceutical Chemistry
3. Pharmacognosy
4. Pharmacology
5. Hospital Pharmacy
6. Clinical Pharmacy.

### **1.7.4 FACULTY OF NURSING:**

1. Psychiatric Nursing
2. Medical Surgical Nursing
3. Community Health Nursing
4. OBG Nursing
5. Paediatric Nursing

### **1.7.5 FACULTY OF PHYSIOTHERAPY:**

1. Musculoskeletal and sports Physiotherapy
2. Orthopaedic and Traumatology Physiotherapy
3. Cardiorespiratory Physiotherapy
4. Neurological and Psychosomatic Physiotherapy
5. Obstetrics and gynaecology Physiotherapy

### **1.7.6 FACULTY OF ALLIED HEALTH SCIENCES**

1. Speech and Hearing
2. Medical Laboratory Technology
3. Medical Imaging Technology
4. Operation Theatre Technology
5. Hospital Administration
6. Public Health
7. Stem Cells & Regenerative Medicine



## **FACULTY OF BIOLOGICAL SCIENCES**

1. Biomedical Sciences
2. Food Science
3. Bio-resource Technology
4. Bio-informatics
5. Infectious Diseases
6. Genetics & Oncology
7. Environmental Science
8. Biotechnology
9. Bio Sciences

### **1.7.7 FACULTY OF HUMANITIES**

1. Mass Communication & Journalism
2. Commerce & Management
3. Banking & Finance
4. Biostatistics

## **2. Definitions:**

Unless the context Otherwise requires –

- *University* means Nitte (Deemed to be University)
- *NU* for Nitte (Deemed to be University)
- *BORS* means Board of Research Studies of Nitte (Deemed to be University)
- *Regulations* means this set of academic regulations
- *Constituent Institution* means any institution under the ambit of Nitte (Deemed to be University)
- *Head of the Institution* means the Dean/Principal of the Institution/College
- *She* includes both genders She and He; similarly *her* includes both him/ his and her in all cases

### 3. Board of Research Studies

The Board of Research Studies will consist of (i) The Vice-Chancellor (Chairman) (ii) The Deans of the faculties of the University, (iii) One subject expert nominated by the Vice-Chancellor from each of the seven faculties (from Ph.D Guides pool) (iv) One senior researcher from outside the University nominated by the Vice-Chancellor as external expert (v) Director, R&D, (vi) Director, CD and (vii) Registrar (Member Secretary). The term of the committee is for 3 years.

The role of the Board of Research Studies will be as follows:

1. Formulation of regulations for Ph.D program
2. Overseeing the selection process of Ph.D candidates
3. Scrutiny and approval of applications from NU faculty for recognition as Ph.D guide
4. Overseeing and approval of Candidate-Guide matching
5. Approval of the PhD Research Protocol
6. Scrutiny and Recommendations for Examiners Panel
7. The Board of Research Studies is also empowered to consider all academic matters pertaining to Ph.D programs such as change of title, change of guide, number of Ph.D candidates under a guide, duration for submission of thesis, etc.

### 4. Doctoral Committees

A Doctoral Committee will be formed for each Ph.D candidate within 3 months of enrolment. The Doctoral committee will consist of

- i. The Guide (Chairperson)
- ii. Two subject experts from within the NU PhD Guides Pool
- iii. One Statistician (from NU faculty) may be included if required

Note:

- a. A subject expert from the parent institution who meets the NitteDU Guide eligibility requirements is to be included in case of external part-time candidates from academic institution.
- b. A subject expert from the parent institution who has a minimum 10 years experience in the relevant field, who can be included in the Doctoral Committee in case of external Part time candidates from non-academic institution.
- c. In rare cases, an additional subject expert (internal / external) may be included if the proposed study requires such additional expertise.

The Doctoral Committee will *collectively* have the following responsibilities:

- i. Guiding the Ph.D candidate at every stage of the course, including preparation of Ph.D Research Protocol, conduct of research study and writing of the Ph.D thesis report
- ii. Evaluation, refinement and approval of Ph.D Research Protocol
- iii. Monitoring the progress of the Ph.D candidate's research work including the half yearly assessment of progress and feedback to Ph.D candidate
- iv. Evaluation of pre-submission synopsis and feedback to Ph.D candidate
- v. Approval of the final Ph.D thesis report for submission to University for evaluation.

Note: Nominee(s) of the Board of Research Studies (BORS) along with the members of the Doctoral Committee will be responsible for evaluation and approval of PhD Research Protocol, mid-course evaluation at end of two years and the pre-submission synopsis evaluation





## 5. Research Guides

### 5.1 Eligibility for recognition as a Ph.D guide:

Only full time permanent faculty members of Nitte University not older than 62 years and meeting at least one of the following criteria are eligible to be recognized as Ph.D guides.

- 5.1.1 Hold a Ph.D in any discipline with a minimum of 5 years of teaching experience and 5 peer reviewed publications in indexed journals (PubMed / Web of Science / Scopus).
- 5.1.2 Hold a MD / MS /MDS degree with a minimum of 8 years of teaching experience and 5 peer reviewed publications in indexed journals (PubMed / Web of Science / Scopus).
- 5.1.3 Hold a Ph.D/MD/MS/MDS qualification with publications of a cumulative impact factor (Web of Science) of not less than 10.

### 5.2 Limit on number of candidates per Ph.D Guide

- 5.2.1 The maximum number of candidates a guide can supervise shall not exceed five at any given time. In this context, a candidate is considered to be under supervision of a guide until she submits her Ph.D thesis. A Guide may not take on more than two new candidates each year.
- 5.2.2 In exceptional circumstances, a guide may apply for increase in the upper limit of PhD candidates for up to 8 candidates. The Board of Research Studies may grant per permission in such cases after evaluating the track record of the guide.

## 6. Eligibility for Admission to Ph.D program

The candidates with the following qualifications are eligible for enrolment for Ph.D program in this University:

### 6.1. Medical sciences

Candidates with MD, MS, DM, M.Ch, DNB, Diploma, M.Sc in Medical Anatomy / M.Sc in Medical Physiology / M.Sc in Medical Biochemistry / M.Sc in Medical Microbiology / M.Sc in Medical Pharmacology awarded by a recognized College/University, approved by MCI or a Medical PG degree recognized as equivalent by Nitte (Deemed to be University) with a minimum of 55% [50% for SC/ST candidates] marks in the qualifying examination are eligible for enrolment / registration for Ph.D program in the Faculty of Medicine.

### 6.2. Dental Sciences

Candidates with MDS degree awarded by a recognized College/University, approved by DCI or a PG Dental degree recognized as equivalent by Nitte (Deemed to be University) with a minimum of 55% [50% for SC/ST candidates] marks in the qualifying examination are eligible for enrolment / registration for Ph.D program in the Faculty of Dental Sciences.



### **6.3. Pharmaceutical Sciences**

Candidates with M.Pharm or Six year Pharm.D degree with a minimum of 55% [50% for SC/ST candidates] marks awarded by a recognized College / University or a PG degree in Pharmacy considered as equivalent by Nitte (Deemed to be University) are eligible for enrolment / registration for Ph.D program in the Faculty of Pharmaceutical Sciences.

### **6.4. Nursing**

Candidates with M.Sc. (Nursing) degree with a minimum of 60% [50% for SC/ST candidates] marks awarded by a recognized College/University, approved by INC or a PG degree in Nursing considered as equivalent by Nitte (Deemed to be University) and with minimum three years of experience in a teaching / research position are eligible for enrolment/registration for Ph.D program in the Faculty of Nursing Sciences of this University.

### **6.5. Physiotherapy**

Candidates with Masters Degree in Physiotherapy awarded by a recognized College/University or an equivalent PG degree in allied health sciences recognized by Nitte (Deemed to be University) with a minimum of 55% [50% for SC/ST candidates] marks in the qualifying examination are and with minimum three years of experience in a teaching / research position eligible for enrolment/registration for Ph.D program in under the Faculty of Physiotherapy of this University

### **6.6. Allied Health Sciences**

Candidates with Masters Degree in Speech and Hearing / Medical Laboratory Technology / Medical Imaging Technology / Operation Theatre Technology / Social Work awarded by a recognized College/University or an equivalent PG degree in allied health sciences recognized by Nitte (Deemed to be University) with a minimum of 55% [50% for SC/ST candidates] marks in the qualifying examination are eligible for enrolment/registration for Ph.D program in under the Faculty of Allied Health Science of this University

### **6.7. Biological Sciences**

Candidates with Masters Degree in Biomedical / Bioscience / Biotechnology / Biochemistry / Microbiology / Marine Biology / Plant Science / Animal Science / Veterinary Science / Fisheries Science / Medical / Dental / Pharmacy / any related life sciences programs with a minimum of 55% [50% for SC/ST candidates] marks awarded by a recognized College/University considered as equivalent by Nitte (Deemed to be University) are eligible for enrolment/ registration for Ph.D program under the Faculty of Biological Sciences of this University.



## 6.8. Humanities

### a. Media Studies

Candidates with Masters Degree in Mass Communication & Journalism with a minimum of 55% [50% for SC/ST candidates] marks awarded by a recognized College/University considered as equivalent by Nitte (Deemed to be University) are eligible for enrolment/registration for Ph.D program under the Faculty of Humanities of this University.

### b. Business Administration

Candidates with M.Com. / MBA / MA(Economics) with a minimum of 55% [50% for SC/ST candidates] marks awarded by a recognized College/University considered as equivalent by Nitte (Deemed to be University) are eligible for enrolment/ registration for Ph.D program under the Faculty of Humanities of this University.

### NOTE:

- 1) The candidates qualified in UGC-NET / SLET / CSIR / GATE / ICMR or any other national level Fellowship examination with necessary qualification for the concerned discipline as stipulated in 6.1 to 6.8 above are eligible.
- 2) Teachers who are in regular service and are working in the Constituent Colleges of NitteDU are eligible to register for part-time Ph.D provided they fulfil the conditions stipulated in 6.1 to 6.8 above.
- 3) Candidates in full-time teaching positions in UGC recognized Institutions, or in non-academic positions in Public Sector / Private Sector industry / organizations of repute are eligible for part-time Ph.D subject to the following conditions:
  - a) Should meet eligibility requirements stipulated in 6.1 to 6.8 above
  - b) Submits a letter of support / permission from the parent Institution / Organization at time of application.
  - c) If selected, the registration to PhD is provisional to inspection and recognition of the parent Institution / Organization as a NitteDU Center for PhD Studies as per guidelines described in Section 7 below.
  - d) A subject expert who is a full-time employee meeting the NitteDU eligibility requirements for Guideship (See section 5.1) is available and willing to supervise the candidate's work as a member of the Doctoral Advisory Committee. .

## 7. Recognition of Institutions / Organizations as Center for Ph.D Studies:

Higher Education Institutions recognized by UGC, Government recognized Research Centres, Public or Private Industry related Organizations may apply for recognition as Center for PhD Studies in prescribed format.

An Institution / Organization seeking recognition as Center for PhD studies should be:



- 7.1. A center of academic / research excellence as evidenced by NAAC accreditation / NBA accreditation / NIRF ranking. Industrial organizations should have been in existence for at least 5 years.
- 7.2. Should have adequate infrastructure, facilities and human resources for the proposed Ph.D program. If required, NitteDU will inspect the Institution / Organization for recognition. Details of the requirements are available in the Guidelines for “Recognition of Research Centres for Doctoral Studies”.
- 7.3. Should pay the prescribed recognition fee of Rs. 25,000/-, application fee of Rs. 1000/-, will be responsible for arrangements for the inspection team visit as required and for the visit of their in-house Doctoral Advisory Committee member(s) to NitteDU for review meetings as required.

## **8. Duration of Study**

- 8.1. For full time candidates, the minimum duration for completing the course requirement including Pre-Ph.D Examination is three (3) years. The maximum duration of the Ph.D program for a full time student will be six (6) years, counted from the date of provisional registration to the date of submission of thesis.
- 8.2. For part time candidates, the minimum duration for completing the course requirement including Pre-Ph.D Examination is four (4) years. The maximum duration of the Ph.D program for a part-time student will be eight (8) years, counted from the date of provisional registration to the date of submission of thesis.
- 8.3. All candidates registered for the Ph.D program shall be available in the Department throughout the program and the Head of the Department / Head of Institution / Principal Investigator shall maintain their attendance.
- 8.4. The Vice-Chancellor may, on the recommendation of the Guide and the Head of the Institution, permit a candidate to work elsewhere for not more than six (6) months, if it is in the interest of her research work. In exceptional cases, her stay outside the University may be extended for a further period of six (6) months with the permission of the Vice-Chancellor.
- 8.5. Full-time PhD candidates are eligible to avail 15 days of casual leave during a calendar year.

## **9. Selection of candidates for Ph.D Program**

- 9.1. Applications for enrolment in the Ph.D program shall be invited twice a year through newspaper / website notifications for the following two categories of candidates:
  - a. Full-time Ph.D
  - b. Part-time Ph.D
- 9.2. Following the newspaper/website notification, a candidate, may apply for admission to Ph.D program in the prescribed application form made available with the website notification. The candidate will have to select the Ph.D Faculty (refer Item 1.7 above) under which she is seeking enrolment. The filled-in applications shall be submitted to the Registrar, Nitte (Deemed to be University), along with payment of the requisite fee.
- 9.3. The application should be accompanied by a “Statement of Purpose” as per the guidelines made available with the website notification. This statement, in addition to



research interests, shall include sections on the prospective candidate's academic background, strengths and expression of interest in potential guides / projects.

- 9.4. Selection to the program will be based on an Entrance Test, evaluation of Statement of Purpose (SOP) and interview. Candidate has to score overall, a minimum of 50% to be eligible for admission. The selection process will have the following components:
  - 9.4.1 Written test - 90 minutes, consisting of 80 multiple choice questions. 60 of questions will be from one of the eight specialities to be opted by the applicant. The remaining 20 questions will test general research aptitude and analytical thinking.. This written test will have a weightage of 60% for final ranking.
  - 9.4.2 Statement of purpose (SOP) - This will carry 20% weightage for final ranking.
  - 9.4.3 Interview by a panel constituted by the BORS. This will carry 20% weightage for final ranking.
- 9.5. Three separate selection lists will be drawn up by the BORS for each Faculty – one for full-time PhD candidates, second for in-house Part-time candidates applying under Faculty Development Program and third for Part-time external candidates.
- 9.6. The faculty-wise inter-se merit of full-time Ph.D candidates will form the basis for offering the Nitte (Deemed to be University) Ph.D Fellowships. The number of fellowships for each faculty and the quantum of the fellowship will be decided by the BORS.
- 9.7. Selected candidates for the part-time Ph.D program shall furnish a “No Objection Certificate” from the respective Head of the Institution / Organization at the time of admission to the program.
- 9.8. Candidates with Fellowships from any of the national agencies like ICMR / DBT / DST / CSIR /UGC-NET / GATE etc. may apply for admission at any time of the year using the application available at the NU website. Such candidates are exempt from the NU Written Test component of the entrance test. Selection of such candidates will be based on the Statement of Purpose and interview.
- 9.9. In all cases, the Board for Research Studies shall recommend the names of the selected candidates to the Registrar for provisional registration. The selected candidates as well as the candidates not selected will be intimated separately by the University. In all matters relating to selection, the decision of the University shall be final.
- 9.10. The results of the PhD Entrance test will be valid for two academic years. However, the NitteDU Ph.D Fellowships fellowship awarded, if any, will be available only if the candidate joins in the session immediately following the Entrance Test.

## **10. Allocation of Guide and constitution of Doctoral Committee**

- 10.1 Following admission to the program, the Ph.D candidates will have 30 days of time to interact with potential guides and identify possible projects. By the end of the month, each candidate will identify a Guide and submit the prescribed Candidate-Guide Matching form duly signed by the Guide. The candidate- guide matching is subject to following conditions:

- 10.1.1 A guide can accept a maximum of two candidates in a year.
  - 10.1.2 The total number of candidates under supervision at any time will not normally exceed five. In exceptional circumstances, this limit may be extended to seven with approval from BRS.
  - 10.1.3 A guide can accept only one NU Ph.D Fellowship Recipient Ph.D candidate in a year.
  - 10.1.4 The guide has to be from the faculty under which the candidate is registering.
  - 10.1.5 The guide has to have requisite expertise / experience for the planned Ph.D project. The decision of the BORS will be final in this matter.
  - 10.1.6 In case of studies involving any clinical intervention in human subjects, the guide should have a medical or dental (as the case may be) post-graduate degree (MD / MS / MDS)
  - 10.1.7 In case of studies requiring clinical material (specimens) or investigations in patients (biopsies, imaging etc.), the clinician who will source the material and /or be responsible for the patients has to be a part of the doctoral committee. This requirement maybe waived in cases where the PhD candidate is a NU faculty member having appropriate medical / dental post-graduate qualification (MD/MS/MDS) and is herself responsible for clinical materials and / or patients.
  - 10.1.8 A guide will not accept a candidate who is a first or second degree relative.
- 10.2 The Guide will then recommend a list of four internal subject experts to the Registrar from which the Doctoral Committee will be constituted.
  - 10.3 The constitution of Doctoral Committee has to be completed within 3 months of start of the course.
  - 10.4 The Guide and Members of Doctoral Committee shall give consent to the candidate for Ph.D registration. Without the guide's consent (Letter of Willingness), no application shall be considered for registration.

## **11. Provisional Registration**

- 11.1. An enrolled candidate may apply for provisional registration once a Guide has been allocated and the Doctoral Committee has been formed
- 11.2. A duly filled-in Registration Form in the prescribed format with the requisite fee shall be submitted within four months of enrolment.
- 11.3. Provisional registration shall be effective from the date of joining the PhD course. Fee once paid shall not be refunded.

## **12. Submission of PhD Research Protocol**

- 12.1. A candidate shall submit the Ph.D Research Protocol to the Registrar within five months of enrolment in the program.
- 12.2. The Ph.D Research Protocol has to be reviewed and approved by the Candidate's Doctoral Committee.
- 12.3. The Candidate shall present the Ph.D Research Protocol to a Sub-committee of the BORS (convened by the Registrar) which will include the members of the Doctoral Committee and nominee(s) by the BORS. The sub-committee will evaluate the proposal and offer feedback.



12.4. A final protocol, incorporating changes based on the feedback shall be submitted to the registrar along with an approval letter from the Ethics Committee within a stipulated time.

### **13. Mandatory course-work and Pre-Ph.D Examination**

- 13.1. All candidates provisionally registered for Ph.D program shall undergo the prescribed coursework which will include modules on research methodology and statistics. The coursework requirements will be notified to the Candidates at the time of enrolment.
- 13.2. The Pre-Ph.D examination will be held twice in a year, in June and in December. Candidate will be eligible to appear for the Pre-Ph.D examination after completion of required course work (not before completion of 6 months from time of joining course) by applying for the same in prescribed format along with requisite fees. It will consist of a written examination in two theory papers of three hours duration with 100 marks each, one common paper (Paper I) in the subject “Research Methodology & Statistics” and the other (Paper II) in their specialization. The syllabus for Paper II shall be framed by the Doctoral Committee and approved by the Board of Research Studies. Minimum pass marks in each paper shall be 50%. If the candidate fails in a paper, she has to appear only in failed paper.
- 13.3. The registration of such candidates, who do not pass the Pre-Ph.D examinations in the attempts within two years from the date of provisional registration, shall be cancelled.
- 13.4. Candidates with an M.Phil or equivalent PG degree in the specialization directly relevant to proposed research and who have had a paper on “Research Methodology and Statistics” in the qualifying examination may be exempted from the Pre-Ph.D examination. This is subject to verification and recommendation by the Candidate’s Doctoral Committee and approval by the BORS.

### **14. Confirmation of Provisional Registration**

The provisional registration of a candidate for pursuing Ph.D course leading to the award of Ph.D degree shall be confirmed when the following requirements are met:

- i. Passing in Pre-PhD examination within two years of provisional registration
- ii. Approval of Ph.D research protocol by BORS
- iii. In case of external Part-Time candidates, recognition of parent Institution / organization as a Center for PhD Studies by NitteDU

### **15. Assessment of progress**

- 15.1. Following provisional registration, each candidate shall submit a half-yearly progress report in the prescribed format. The progress will be assessed by the Doctoral Committee. Progress will be graded as Satisfactory / Not Satisfactory and specific feedback will be communicated to the Candidate. Issues identified in a progress evaluation, suggestions and comments have to be addressed specifically in the subsequent half-yearly progress report.
- 15.2. A mid-course assessment will be performed at the completion of two years after registration by a subcommittee of the BORS (convened by the Registrar) which will





include members of the Doctoral Committee and nominee(s) of the BORS. The assessment will include a presentation of work completed by the candidate.

15.3. A full-time candidate has to receive at least THREE and a part-time candidate at least FIVE “Satisfactory” half yearly progress as a pre-requisite for submission of Thesis for evaluation.

15.4. The candidate may be asked to present the progress and discuss it with the doctoral committee / BORS at any time if it is felt necessary.

15.5. If the two consecutive half yearly progress reports are not satisfactory, the Board of Research Studies may recommend to the University for Cancellation of the Registration.

## **16. Change of Title or Field of Research:**

A Ph.D candidate may request for change of title / field of research / changes in research protocol only once, within two years from the date of registration. Such a request should be forwarded by the Doctoral Committee to the Registrar. The Registrar shall refer it to the BORS and if permitted, the candidate has to submit a modified / new research protocol through the proper channel along with payment of the prescribed fee to the University. The candidate has to seek ethical clearance again. The duration of study shall be extended as deemed necessary.

## **17. Change of Guide**

Change of Guide may be allowed only on the recommendation from the Board of Research Studies and approval from the University. The conditions under which change of guide is allowed are:

- i. The Guide is abroad for more than 12 months or is no longer employed at the University / Institution.
- ii. Death or illness of the Guide.

In cases of extraordinary circumstances, warranting change of Guide, the guide/student shall place the facts necessitating the change of guide through the Head of the Institution before the University.

## **18. Cancellation of Registration:**

- A candidate who does not pass the Pre-Ph.D examinations in the attempts within two years from the date of provisional registration shall be cancelled.
- A candidate who fails to submit two consecutive half yearly progress reports with no valid reasons will be cancelled. However, if the Board of Research Studies recommends, the candidate can re-register for Ph.D course, on payment of the re-registration fee as fixed by the University.

## **19. Pre-submission Synopsis and Presentation**

19.1. Upon completion of the submission of the fifth half yearly report, a full time candidate (seventh half year report for a part time candidate) who has completed the research required for writing the thesis may request, through the Guide, the initiation of the Pre-submission evaluation process.





- 19.2. The Registrar upon receipt of such a request will convene meeting of a subcommittee which will include members of the Doctoral Committee and nominee(s) of the BORS for evaluation of the Synopsis. Changes based on the feedback from the committee shall be incorporated into the final synopsis and approval obtained from the Guide.
- 19.3. Following approval of the presentation of the Synopsis, the Candidate shall submit three copies of the final synopsis (also in the form of a CD) containing the summary of the research work done to the Registrar. Upon receipt of the final synopsis, the Controller of Examinations shall proceed with the constitution of Board of Examiners for the adjudication of the Ph.D thesis in anticipation of the submission of the thesis.

## **20. Pre-requisites for submission of Ph.D Thesis**

- i. At least THREE “Satisfactory” half yearly progress reports for a full-time Candidate and at least FIVE “Satisfactory” half yearly progress reports for a part time candidate.
- ii. At least two research papers (or manuscripts accepted for publication) as first author in peer reviewed indexed (PubMed / Scopus / WoS) journals in the broad subject area of her research.
- iii. Approval of pre-submission Synopsis

## **21. Submission of Ph.D Thesis:**

A candidate shall submit, along with an application, three spiral bound copies within 6 months from the date of submission of the final synopsis to the Controller of Examinations. A final ready-to print PDF softcopy will be uploaded to the University Repository through the portal provide for the purpose.

### **A candidate shall also submit along with the thesis:**

- i. A certificate from the Guide to the effect that, the thesis submitted is a bonafide record of research work done by the candidate during the period of study under her and that it has not previously formed the basis for the award of any degree/diploma, Associateship/fellowship or any other similar award. If, however, the thesis submitted has formed in part the basis for the award of previous research degree, the candidate shall clearly set forth in a preface or written statement the portion(s) which have formed the basis for the award of the previous degree.
- ii. A declaration by the candidate to the effect that the thesis submitted is her original work and in part or full, has not been submitted to any other University or Institution for any degree or diploma.
- iii. A Plagiarism Check Report generated from the recommended tool, signed by the Chief Librarian or other Faculty / Officer designated for the purpose by the Head of the Institution (to which the Guide is affiliated) and countersigned by the Guide. The similarity index of the thesis should be less than 25% (Only the Abstract, Introduction, Review of literature, Methods, Results and Discussion sections to be subjected to analysis).
- iv. “No due certificates” from the Head of the Department and Head of the Institution where She has worked and also from the University Librarian and from the Admission section of the University.



- v. Papers published by her, if any, embodying the results of investigation and also any other contributions to the knowledge of her subject or any cognate branch of the subject.
- vi. Receipt for the payment of thesis submission fee.
- vii. Items i to iii above will be included in the Thesis document

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

The Thesis document should be prepared as per the guidelines in NU Ph.D Style Manual which will be available to the candidate.

## 22. Adjudication of Ph.D Thesis

For the adjudication of Ph.D thesis, a Board of three Examiners shall be appointed by the Controller of Examinations in consultation with the Vice-Chancellor. The Guide of the candidate shall normally be the Chairman of the Board of the Examiners, who shall also act as coordinator and internal examiner. However, under extraordinary circumstances, the University may appoint a Chairman other than Guide from the panel of Board of Examiners. The two external members of the Board of Examiners will be chosen by the Vice-Chancellor from a panel of SIX Examiners recommended by the Board of Research Studies in addition to the names suggested by the Guide at least 6 months prior to the expected date of submission of the thesis. The panel shall include examiners, both Indian and Foreign, who on the basis of their published work are acknowledged as eminent scientists in the field of study undertaken by the candidate.

A copy of the final synopsis shall be sent to the external examiners. The Controller of Examinations shall ascertain from the external examiners their willingness to act as an examiner for a particular thesis.

Each external examiner appointed, as well as internal examiner, to adjudicate the thesis shall send the report to the Controller of Examinations within six weeks from the date of receipt of the thesis. Such reports shall include:

1. A critical account of the work of the candidate as embodied in the thesis and an evaluation of the work in terms of its condition to the advancement of knowledge.
2. Questions to be asked or points to be clarified at the time of *viva-voce* examination should be sent in a sealed cover to the Controller of Examinations of the University. These questions/comments should be made available to the candidate before the *viva-voce* examination.
3. Definite recommendations have to be made by the examiners stating clearly whether:
  - a) The research work of the candidate has advanced the existing knowledge in the subject and therefore, the thesis can be accepted for the award of Ph.D degree in the present form.
  - b) The thesis can be accepted for the award of Ph.D degree after minor corrections/revisions as suggested. (Points on which revision is required have to be stated by the examiner/s).
  - c) The thesis should be revised and resubmitted for evaluation. (Revision required should



be stated clearly by the examiner).

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

If any two of the three Examiners give definite recommendations against the award of the degree, the thesis shall be rejected. If one of the examiners gives a definite recommendation against the award of the degree, the thesis may be referred to another external examiner, from the panel recommended by the Board of Research Studies. If the report of this examiner is favourable, then the candidate shall be eligible to appear for the *Viva-Voce* examination, and if not, the thesis shall be rejected.

If one of the examiners makes qualified recommendations with valid reasons (e.g., to resubmit the thesis after suitable modifications) the Controller of Examinations shall communicate the same to the Chairman (Guide) who will in turn intimate the candidate for resubmitting the thesis after suitable modifications within six months from the date of the communication. The resubmitted thesis will be again sent to the same examiner and the reports received thereon by the Controller of Examinations shall be communicated to the Chairman. For resubmission of the Thesis, candidate shall pay half the prescribed fee. **No candidate shall, however, be permitted to submit the thesis more than two times.**

### 23. Viva-Voce Examination

After the thesis has been approved by all the examiners, an open defense of the thesis will be held as well as the *viva-voce* examination will be conducted by the University on a suitable date. The candidate shall deposit one hardcopy of the final accepted thesis with the Controller of Examinations and submit the final ready-to print PDF softcopy to the University Repository through the portal provided for the purpose, before the *viva-voce* examination is scheduled.

The *viva-voce* examination in which a pass is obligatory shall be conducted by a Board of Examiners constituted as follows:

- a. Guide (Chairperson)
- b. Members of the Doctoral Committee
- c. At least one of the external examiners.

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

The topic date and time of open defense of thesis shall be announced by the University well in advance so that the faculty members and others interested in the topic of the thesis can be present. The teachers and research scholars of the Department can also ask relevant questions to the candidate. The board of examiners shall take into consideration the views and criticism, if any, of the faculty members and others participating in the open defense of the thesis. However, the result of the examination shall be decided solely by the members of the Board of Examiners.

The *viva-voce* examination is primarily designed to test the understanding by the candidate of the subject matter of the thesis including methodology employed and her competence in the general field of study. Since the points raised by the examiners of the thesis are to be clarified during the *viva-voce* examination, the report of the examiners who adjudicated the thesis shall



be made available to the candidate and to the Board of Examiners for *viva-voce* examination. The candidate shall produce all the relevant documents, materials, preparations, etc., connected with the research project during *viva-voce* examination.

#### **24. Announcement of Result:**

The candidate shall be declared for the award of the degree of Doctor of Philosophy, only on the unanimous recommendations of the members of the Board of Examiners after the *viva-voce* examination.

Members of the Board of Examiners for the *viva-voce* examination shall report specifically on whether the candidate's performance in the examination is satisfactory or not, and therefore be considered for the award of Ph.D degree or not. In case the examiners are not satisfied with the performance of the candidate in the *viva-voce* examination, the candidate shall be permitted to undergo the *viva-voce* examination for a second time within a period of three months. No candidate shall be permitted to take the *viva-voce* examination on more than two occasions.

After the candidate successfully completes the *viva-voce* Examination, the Chairman shall consolidate the recommendations for the award of the Ph.D degree based on the following:

- a. The report of the examiners who adjudicated the thesis.
- b. Evaluation of the candidate's performance in the *viva-voce* examination.

The Chairman shall then forward the consolidated and the individual reports to the Controller of Examinations of the University.

#### **25. Award of Ph.D Degree:**

Based on the reports of the Board of Examiners, the University shall award the degree of Doctor of Philosophy (Ph.D) after the recommendations are approved by the Academic Council and the Board of Management. The Ph.D degree will be awarded in the respective faculty and shall be designated as a Doctor of Philosophy. A degree under the seal of the University and signed by the Vice-Chancellor will be given to each successful candidate at the next convocation held for conferring the degree.

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