

SRI BALAJI VIDYAPEETH

(Deemed University u/s 3 of UGC ACT, 1956)

Accredited by NAAC with A Grade

PILLAIYARKUPPAM, PONDICHERRY-607403.

MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF DEGREE OF MASTER OF PHILOSOPHY (M.Phil.), / DOCTOR OF PHILOSOPHY (Ph.D.) REGULATIONS 2016 AMENDED IN 2017.

PREAMBLE

Sri Balaji Vidyapeeth promotes research and developmental activities both in basic and applied aspects in various faculties of Health Sciences, viz. Medical, (Pre Clinical, Para Clinical and Clinical subjects) Dental, Interdisciplinary Research and other Allied Health Sciences in Constituent colleges of this Deemed University.

1. SHORT TITLE, APPLICATION AND COMMENCEMENT:

- 1.1. These Regulations may be called SBV- Minimum Standards for the award of degree of Master of Philosophy (M.Phil.), Doctor of Philosophy (PhD) Regulations 2016 amended in 2017.
- 1.2. These Regulations will apply to the constituent colleges of Sri Balaji Vidyapeeth which offers the PhD programmes.
- 1.3. They shall come into force from the date of approval in the Academic Council and shall be effective from the batches joining from 2017 onwards.

2. ELIGIBILITY CRITERIA FOR ADMISSION TO THE M.Phil PROGRAMME:

- 2.1. Candidates for admission to the M.Phil programme shall have a Master's degree or a professional degree (PG. Diploma / MD/ MS / MDS) declared equivalent to the Master's degree by the corresponding statutory or Regulatory body, with a minimum of 55% marks in aggregate or its equivalent grade 'B' in the UGC 7 - point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accrediation agency which is approved, recognised or authorized by an authority, established or incorporated under a law in its home country or any other Statutory authority in that country for the purpose of assessing, accrediting or assuring Quality and Standards of educational institutions.

- 2.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ ST / OBC (Non - Creamy layer) / differently abled and other categories of candidates as per the decision of UGC and SBV from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. 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 above are permissible based only on the qualifying marks without including the Grace Mark procedures.

3. ELIGIBILITY CRITERIA FOR ADMISSION TO PhD PROGRAMME:

Subject to the conditions stipulated in these regulations, the following persons are considered eligible to seek admission to the PhD programme:

- 3.1. Master's degree holders satisfying the criteria stipulated under Clause 2 above of these regulations.
- 3.2. Candidates who have cleared the M.Phil course work with a minimum of 55% marks in aggregate or its equivalent 'B' in the UGC 7 point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil degree shall be eligible to proceed to do research work leading to the PhD degree. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ ST / OBC (Non Creamy Layer) / differently abled and other categories of candidates as per the decision of the UGC and SBV from time to time.
- 3.3. A person whose M.Phil dissertation has been evaluated and the Viva Voce is still pending may be admitted to the PhD programme of Sri Balaji Vidyapeeth.
- 3.4. Candidates possessing a degree considered equivalent to M.Phil. degree of an Indian institution, from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognised or authorised by an authority, established or incorporated under a law in its home country or any other Statutory authority for the purpose of assessing, accrediting or assuring quality and Standards of educational institutions including IMC University of Applied Sciences, KREMS, Austria shall be eligible for admission to PhD programme.

4. REQUIREMENT OF EXPERIENCE: (Ph.D. PART TIME)

- 4.1. Teacher candidates working in College/University departments (SBV) and such other Institutions recognized by concerned Statutory / Regulatory council with a minimum of one year of continuous teaching experience at undergraduate or post-graduate level in the subject concerned.
- 4.2. Candidates under the regulations of Part-Time shall be required to work in a department approved for research by this University while the Guide/Supervisor may or may not be working in the same department.

Interdisciplinary research for such part-time internal candidates shall be allowed only with the approval of the Academic Council.

- 4.3. For PhD programme of clinical disciplines in Medicine, a minimum of One year experience in the concerned department for Diploma qualified candidates is necessary. For candidates with PG Degree or equivalent there to, in the concerned subject, may be exempted from this experience criterion at the discretion of the University.
- 4.4. Technocrats, Scientists, Social Scientists & Scholars with a minimum of Two years of experience in India or abroad and Educational qualifications as prescribed for Ph.D. Part-time programme, having sufficient exposure in research & development and generated useful data/patent/knowledge as evidenced by their contributions in their respective areas of research.
- 4.5. Non-teaching staff employed in a time scale of pay in this University and other affiliated research institutions provided that(i)the candidate has a minimum of Five years of continuous work experience of which at least two years should be relevant to the field of research, proof of which is to be evidenced through two research papers published in standard journals OR (ii)the candidate has a minimum of Three years of work experience with M.Phil.in the subject concerned and published two research papers in standard journals in the subject concerned.
- 4.6. Candidates under the regulations of part-time are prohibited from taking any other remunerative assignments or joining any other course of study.
- 4.7. Candidates under Permanent academic staff of college/Universities/other educational Institutions of higher learning/ Research & Development Laboratories and organizations with a minimum of Two years of continuous teaching /research experience are eligible for PhD programme (Part Time).
- 4.8. A candidate possessing a Postgraduate/ Super Specialty degree from an accredited Overseas University and who is residing abroad or working abroad in a University/industry may also apply. Such applications shall be routed through the concerned department and placed before the Research Advisory Board. There shall be sufficient correspondence between the candidate and the supervisor to effectively evaluate the candidate potential and feasibility of supervision on the identified topic. A well written research proposal should be placed before the Research Advisory Board .
- 4.9. It is to be noted that as far as the candidature of Part Time is concerned, it is mandatory that the institute or R&D unit where the candidate is presently working should have the concerned Institutional Ethics Committee and also a co-guide who fulfills the eligibility criteria in the respective work place and the department needs to be recognised by Sri Balaji Vidyapeeth.

5. REQUIREMENT FOR Ph.D. (FULL TIME)

- 5.1. The candidate with research grant from a non SBV funding agency (JRF, SRF qualified, GATE, ICMR, INSPIRE)

6. DURATION OF THE PROGRAMME:

- 6.1. M.Phil programme shall be for a minimum duration of Two consecutive semesters / one year and a maximum of Four consecutive semesters / two years.
- 6.2. The duration of the PhD programme will be as follows;

FULL TIME:

The duration of the Ph.D. Full Time programme shall be a minimum period of three years and a maximum of six years from the date of provisional registration. Extension beyond the above limits as described in the Clause 22 of these regulations.

PART TIME:

Part Time candidates shall have to complete a minimum of four years and are allowed a maximum of Seven years from the date of provisional registration. Extension beyond the above limits is described in the Clause 22 of these regulations.

The duration of the programme can be modified by the Research Advisory Board in exceptional cases viz.

Ph.D research work of very high caliber as evidenced by three publications (First author / Corresponding author) in peer reviewed journals /patents etc.

6.3. RELAXATION IN THE DURATION OF THE PROGRAMME

Women candidates and persons with Disability (More than 40% disability duly certified) may be allowed a relaxation of one year for M.Phil and two years for PhD programme in the maximum duration. In addition, Women Candidates may be granted Maternity Leave / Child Care Leave once in the entire duration of the M.Phil / PhD programme for up to a maximum of 240 days, a period not counted for the total duration.

7. PROCEDURE FOR ADMISSION:

- 7.1. Sri Balaji Vidyapeeth shall admit M.Phil / PhD students through an Entrance / Screening Test conducted at the level of the University. SBV may decide separate terms and conditions for PhD Entrance Test for those students who qualify UGC - NET (including JRF / UGC - CSIR NET / JRF / SLET / GATE / Teacher Fellowship / M.Phil). Similar approach will be adopted in respect of Entrance Test for M.Phil programme.
- 7.2. SBV will decide on an annual basis through its academic bodies a predetermined and manageable number of M.Phil and / or PhD scholars to be admitted depending on the number of available Research Supervisors and other infrastructure, academic facilities available. SBV will notify well in advance on the institutional website / through advertisement in dailies, the number of seats for admission, subject wise / discipline wise distribution of available seats, criteria for admission, procedure for admission, examination centres and other relevant information to be furnished for the benefit of the candidates.
- 7.3. A candidate should score a minimum of 50% at the Entrance test in order to qualify for the Screening test. The syllabus of the Entrance test will consist of 50% of Research Methodology and 50% on the specific subject. The interview / screening test will consider the ability of the candidate to exhibit the competence for the proposed research, the feasibility of the study / research work which can be suitably undertaken at any of the centres / constituent colleges of SBV and the proposed area of research towards augmentation of the existing knowledge.
- 7.4. The shortlisted candidates have to appear for an interview and / or give a seminar or participate in a group discussion or any such method of evaluation as per the requirement of the Research Advisory Board/ University.
- 7.5. Candidates admitted under MoU between SBV and a University / Institution in India or abroad where specific clause(s) exist for registration of candidates to M.Phil / Ph.D. degree by the University and those selected under international cultural/educational exchange schemes of Government of India/UN bodies are exempted from taking the admission test.
- 7.6. The candidate would be required to give a seminar on the proposed topic of research in the concerned school/department/ Centre. The Research Advisory Board / University may also adopt any other method of evaluation of the candidate which will also form the basis for granting provisional admission to the candidate. The Research Advisory Board / University should be convinced of the potential of the candidate to carry out research.

- 7.7. All the candidates applying for admission to the M.Phil / Ph.D. programme should submit at the time of interview, a clear written proposal of the research to be conducted, giving sufficient background material and the proposed line of research. In case of candidates working outside the University, the Guide will be from SBV and a Co-guide duly recognized by the University may be permitted, if necessary, in addition to the University Guide/Supervisor on the recommendation of Research Advisory committee. The part time candidates should produce a No Objection Certificate (NOC), from the head of the institute where the candidate is working, at time of applying.

Research Proposal:

The Research proposal should emphasise on research plan by including the Following:-

1. Introduction to the proposed research
2. A detailed literature survey
3. Research gaps/ lacunae and the Identified need for the study.
4. Aims and objectives
5. Methodology
6. Significance of the proposed research and the expected out come.
7. Schedule of the Research plan.
8. Pilot Study (If deemed necessary)
9. Expenditure likely to be incurred and funding.
10. References.

The Research Proposal should be self explanatory and a maximum of Ten pages on A4 size with 1 inch margin all around. The font to be used is Times New Roman, 12 with 1.5 line spacing. The references should be in the Vancouver format and all of them need to be essentially cited in the text.

Mere possession of required educational and other qualifications alone cannot be claimed as a right for admission to the Ph.D. Programme in Sri Balaji Vidyapeeth, Pondicherry.

- 7.8. SBV will maintain the list of all the M.Phil / PhD registered students on the website by indicating the Scholars on year wise basis. The list will include the name of the registered candidate, Unique Identification number of the candidate, topic of M.Phil / PhD research, name of the supervisor / co-supervisor and date of enrollment / registration.

8. RECOGNISED SUPERVISOR/ GUIDES FOR M.Phil /PhD PROGRAMME

The faculty who fulfil the eligibility criteria as per UGC / SBV regulations can apply for Guide Recognition to the Office of the Registrar.

Eligibility Criteria:

Any regular Professor (Non PhD) in any of the constituent colleges / centres with a minimum of Five research publications in referred journals and any regular Associate / Assistant Professor in any of the constituent colleges / centres with a doctorate degree (PhD) and a minimum of Two research publications in referred journals will be recognised as Research Supervisor / Guide for M.Phil and PhD programme.

Faculty in other academic departments/ Scientists with PhD/D.Sc in Central Interdisciplinary Research Facility (CIDRF), Animal House of a rank at least equivalent to that of Assoc./ Assistant Professor and having the prescribed qualification / Experience mentioned for teaching faculty/ PhD with at least two publications in reputed peer reviewed journals may be recognised as a supervisor to guide Full time / Part-time research in the subject or field of his /her own specialization, even if the department in which he/ she is working is not recognised as a centre by the University for conducting research leading to PhD degree.

Faculty/ Scientists working outside the University who possess the requisite credentials as mentioned above on applying for Co-Guide recognition will be duly considered for co-guideship.

Guidelines for Guide recognition in inter- disciplinary research:

In inter-disciplinary/ multi - disciplinary subjects (e.g. Medical Genetics, Biophysics, Biotechnology, Medical Education, Medical Informatics, Music Therapy, Yoga Therapy etc., a person who possesses qualification(s) or experience/ expertise in some other or related disciplines can apply for recognition as Guide in an additional/ different/allied subject and when the Academic council, based on the recommendations by the Dean (Research) approves of the person's merit, then he/ she will be approved as a recognized Guide of Sri BalajiVidyapeeth.

Note:

In such of those areas / disciplines where there are or only a limited number of referred journals, SBV will reserve the right to relax the eligibility for the recognition of a faculty / staff as Research Supervisor with the valid reasons recorded in writing. (Clause 6.1 of UGC - Minimum Standards and procedure for award of M.Phil / PhD degrees Regulations, 2016.)

Only a full time faculty in any of the constituent colleges / centres can function as Research Supervisors / Guide. However co-supervisors may be allowed from other departments within the same institute or from other departments in any of the constituent institutes / centres with the due approval accorded by the Research Advisory Committee.

Allocation of Guides/ Co-guides:

It is the prerogative of the Research Advisory Board to allocate the Research Guide, who is duly recognized by this University in relevance to the research interest of the candidate.

Co-guides should be co-opted, based on the recommendation of the guide and the collaborating departments. For Part Time candidates it is mandatory to have a co-guide from the institute where the research work is being carried out.

Number of candidates permitted for a Guide:

At any given point of time for the purpose of guidance of PhD thesis, a Guide (Professor) can have a maximum number of Eight (8) doctoral students enrolled. However if the PhD guide happens to be also a guide for M.Sc (Medical), MDS or MD/ MS or DM/ M.Ch the guide shall not have at any given point of time more than Six (6) PhD candidates.

If the guide happens to be an Associate Professor he can guide a maximum of Six (6) PhD scholars at any given point of time and for Assistant Professors, a maximum of Four (4) scholars can be guided at any point of time for the PhD programmes. However if the PhD guide happens to be also a guide for M.Sc (Medical), MDS or MD/ MS or DM/ M.Ch the guide (Associate Professor) shall not have at any given point of time more than Four PhD candidates and for Assistant Professor shall not have at any given point of time more than Two (2) PhD candidates.

The number of candidates under a particular guide at any given point of time will be till the submission of Synopsis by the candidate. Upon the successful submission of the synopsis by a PhD candidate, the Guide will be entitled to take up one more doctoral candidate if he / she had registered maximum number of candidates.

For M.Phil programme, a professor recognised as a Research Supervisor can guide a maximum of Three M.Phil candidates; an Associate Professor recognised as a Research Supervisor can guide a maximum of Two M.Phil candidates; an Assistant Professor recognised as Research Supervisor can guide One M.Phil candidate at any given point of time.

Age limit for the guides:

The upper age limit for a recognized M.Phil / PhD guide is Seventy (70) years. The guides are not allowed to take new doctoral candidates under their supervision when they are above sixty seven (67) years of age.

Conflict of Interest:

The guide and the co-guides should not be related to the candidate.

Absence of guide (Prolonged period):

In the absence of the guide for a prolonged period, the Vice-Chancellor reserves the right to appoint another eligible faculty as guide, but with the recommendations of the Research Advisory Committee, subject to the *post facto* approval at the ensuing Academic Council.

Change of guide:

In case the guide leaves the University permanently or on deputation or otherwise for a period of more than one (1) year, the candidate may be permitted to change the topic of research if necessary, along with the change of guide upon the approval of Vice-Chancellor. Duration of the research remains the same if the topic of research is retained. If there is a change in the topic, the minimum duration of research will be decided by the Research Advisory Committee. Change of guide will be permitted only under exceptional circumstances such as non availability of the guide for more than one (1) year. Furthermore, under extraordinary circumstances, the change of guide is warranted with the approval of the Vice-Chancellor and also based on the recommendations of the Research Advisory Committee and Dean- Research.

9. DUTIES OF THE RECOGNISED GUIDE

- The Guide should give the consent for officiating as a Guide for the candidate to be registered.
- The Guide shall sign all the papers, declarations, certifications, authentications, log books and other related documents pertaining to the registration, submission of synopsis and thesis of the registered candidate.
- The Guide shall serve as a Supervisor / Convener to interact with the University.
- The Guide shall supervise and interact with the University for those candidates who have already submitted the Thesis till the final decision is arrived.
- The Guide shall also be the convener of the Public Viva Examination Committee.

- The Guide shall interact with the Co-guide who may be entrusted to continue the research work of the candidate when the selected Guide is not in a position to do the same under the following situations:
 - When the Guide has completed 70 yrs. and till a new recognized Guide takes over.
 - When the Guide is on long leave (three months and above).
 - When the Guide is sick or on Medical leave.
 - Other unforeseen circumstances.
- Till a new guide is selected and appointed with the approval of the Vice-Chancellor, the Co - guide shall assist the candidates in his/ her research work.
- The change of Guide shall be considered under special circumstances with proper permission from the Dean - Research and the candidate will be allotted a new Guide in accordance with the Ph.D., Rules & Regulations in force.
- The change of guide is generally permitted after the approval of the provisional registration and before the completion of the part one methodology examination as approved by the Academic Council.
- Only one change of guide is permissible under ordinary circumstances.
- In case of detection of any discrepancy, conflict of interest, unethical activities, academic dishonesty etc. it is the prerogative of the University to initiate appropriate administrative and disciplinary actions amounting to cancellation and debarring of the guideship at any stage.
- The recognized guides of Sri Balaji Vidyapeeth will renew their guideship once in Five (5) years based upon the request made by them and also based on the progress of candidates being supervised by them. The renewal of Guide recognition will be based on the Regulations in force at that time.

DUTIES OF THE CO- GUIDE

In order to promote Interdisciplinary research and Part Time, a Co-Guide (Joint Supervisor) can be appointed based on the recommendations of the Research Advisory Committee. The number of candidates registered under co-guide shall not be taken into consideration while counting the permissible number of candidates registered under a particular guide. However the main guide shall be responsible for facilitating the successful completion of the Doctoral Programme. The Co-Guide will have the responsibility in certifying the sustained research progress of the candidate, his / her attendance and the formative assessment pertaining to the Interdisciplinary research and part Time External.

10. RESEARCH ADVISORY COMMITTEE (RAC)

**Research Advisory Committee: (To meet in June/ July and
December/ January every year)**

SBV will have Research Advisory Committee (RAC) for each M.Phil and PhD scholar. The following is composition of RAC,

Guide	- Convener
Co-Guide (s)	- Member (s)
Head of the department	- Member
Subject Expert (2 Members)	- External Members

10.1. FUNCTIONS OF RAC:

- To Review the research proposal and finalise the topic of research.
- To guide the Research Scholar in developing the study design and methodology of research and identify the course (s) that he / she may have to do.
- RAC in its first meeting should finalise the contents of course work 2 and specify the split up of Marks and Grades required of the candidate .
- RAC at the end of the first year should forward the Grades/ marks of Course Work 1 and Course work 2 to the Controller of Examinations for finalisation of the results.
- To periodically review and assist the progress of the research work of the research scholar.

The names suggested by the Guide would be nominated as the subject experts (External Experts) by The Dean- Research / Vice-Chancellor. The first meeting of the Research Advisory Committee shall be held within Six months following provisional registration and at this meeting, the committee shall finalise the Thesis Topic to be submitted to the respective Institute Ethics Committees for approval. Also the committee should stipulate the course work that the candidate needs to essentially take as requirement towards the Part I Examination.

The Committee shall in its presence conduct a departmental seminar where in the candidate makes a power point presentation on the protocol pertaining to the thesis work. The protocol of the proposed thesis (corrected) shall be submitted before the completion of the Six month period from the date of provisional registration. The subsequent committee meetings should be held twice in a year in the month of June/ July and December / January every year to scrutinize the annual progress made by the candidate. When the thesis is nearing the final stage, the committee after duly examining the progress made by the candidate shall recommend for the submission of the synopsis. In addition the Committee shall suggest a panel of Examiners (5 Indian and 5 overseas) for the

evaluation of the thesis to Vice-Chancellor who in turn would select two examiners (1 Indian & 1 Overseas) and forward it to the Controller of Examinations for further action.

The Research Advisory Committee can recommend minor changes in the topic of thesis, if any, to the respective Ethics Committee for approval. The decision of IHEC/IAEC in this regard will be the final.

11. ETHICS CLEARANCE / WAIVER

Following the recommendation at the First Research Advisory Committee meeting, the protocol has to be submitted to the respective Institutional Ethics Committees (IHEC/ IAEC) for ethical clearance/ waiver for the topic. This clearance has to be submitted to Dean Research within six months from the date of provisional registration of the candidate. If the protocol is modified by the concerned ethics committee, the clearance has to be submitted within twelve months.

Note: The clearance / Waiver has to be obtained from the Ethics Committee of the institute where the research work is being carried out.

12. COURSE WORK

12.1. The credit assigned to the M.Phil degree will be 26 credits. Course Work - 14 credits) (Research Methodology 4 credits, Elective 1 - 4 credits, Elective 2 -4 credits, e-portfolio 2 credits, Theory Papers (3 papers X 4 Credits) = 12 credits. Total credits = 26 credits.

12.2. The course work shall be treated as a prerequisite for M.Phil / PhD preparation. A minimum of 4 credits shall be assigned to one or more courses on Research Methodology which would cover areas such as Quantitative methods, Computer applications, Research Ethics and Review of Published research in the relevant field, training, Field work, etc. Other courses shall be of advanced level preparing the students for M.Phil / PhD degree.

12.3. For PhD

Sl.No	Course Title	Credit Value	Formative Assessment (50%) (2 / 4 Credits)	Summative Assessment (50%) (2 / 4 Credits)	Total marks (4/ 8 credits)	Minimum Marks/ Grade for passing
Course Work 1	Research Methodology (Research Techniques, Biostatistics, Research	4	Performance in tutorials, Seminars, Assignment, Practical	University Examination	100	55% (B Grade)

	Ethics)		sessions, Discussion.			
Course Work 2	Chosen area of Research (Review of Literature, Recent developments in the topic of research, Need for the study and Research problems in Broad based perspectives.	8	Drafting Research proposals, Relevance of study, Literature survey and Reference Manager.	University Examination	200	55% (B Grade)

- 12.4. All courses prescribed for M.Phil and PhD shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorised academic bodies.
- 12.5. The department where the scholar pursues his / her research shall prescribe the course (s) to him / her, based on the recommendations of the Research Advisory Committee, as stipulated under sub clause 10.1. of these regulations.
- 12.6. All candidates admitted to the M.Phil / PhD programmes shall be required to complete the course work prescribed by the Department / Research Advisory Committee during the initial one or two semesters.
- 12.7. Candidates already holding M.Phil degree and admitted to the PhD programme, or those who have already completed the course work in M.Phil and have been permitted to proceed to the PhD in integrated course, may be exempted from the PhD course work on **Research Methodology only and have to take up the Course Work 2 (Chosen area of Research)**. All other candidates admitted to the PhD programme shall be required to complete the PhD course work as prescribed.
- 12.8. The credits in the course works pertaining to M.Phil and PhD programme, including Research Methodology and the specified areas of research shall be declared by the Controller of Examinations and submitted to the Board for approval and the final grades shall be communicated to the candidates.
- 12.9. M.Phil / PhD scholar has to obtain a minimum of 55% of marks or its equivalent grade (B Grade).

Letter Grade and its equivalence

90 - 100 marks	10 Grade points	: O Grade
80 - 89 marks	9 Grade points	: A+ Grade
70 - 79 marks	8 Grade points	: A Grade
60 - 69 marks	7 Grade points	: B+ Grade
50 - 59 marks	6 Grade points	: B Grade (Minimum Passing)
40 - 49 marks	5 Grade points	: C Grade (Reappear)
Less than 40 marks	-	: C Reappaer

The topics shall cover the following:

Paper- I : Principles of Research Methodology (Common Paper to all candidates)

- 1) General Research Methodology.
- 2) Bio-statistical Methods in Medical Research.
- 3) Ethical aspects of Medical Research.

Animal Experimentation and Instrumentation (wherever applicable may be incorporated in Course Work 2)

Other important points for consideration:-

University Examination for Course Work 1 & 2 will be conducted at Sri Balaji Vidyapeeth **once** in a calendar year in the month of January / Februry of every year.

It is imperative that the candidates (Part Time / Full Time) should necessarily undergo the course on Research Methodology conducted by Sri Balaji Vidyapeeth. Alternately if this is not feasible for the candidates, they should produce a certificate of Equivalence that they had undergone the mandatory course on Research Methodology without fail. The certificate of Equivalence will be accepted based on the recommendations of the duly constituted committee. However this may not be applicable to the eligible candidates seeking exemption from the Course Work.

Number of Attempts

Candidates will be permitted to appear for a maximum of **two** attempts for the Methodology Examination. Following two attempts, the candidates will be discharged from the Research programme. Candidates should pass the Methodology Examination within Two years from the date of provisional registration.

The Ph.D. applicants can start their Research work following the provisional registration with the university, followed by the clearance from the respective institutional ethics committees; they need not wait till the Methodology Examination for which they will be eligible to appear at the end of one year after their date of provisional registration.

Exemption from Course Work:

Candidates already holding M.Phil degree and admitted to the PhD programme, or those who have already completed the course work in M.Phil (Equal to 4 credits) and have been permitted to proceed to the PhD in integrated course, may be exempted from the PhD course work 1. All other candidates admitted to the PhD programme shall be required to complete the PhD course work as prescribed.

Exemption from Research Methodology Examination:

Candidates with M.Phil.degree relevant to the discipline registered for PhD, shall be exempted from taking up Course Work I, including Research Methodology Examination provided they forward the request to the Dean Research with the Guide's approval at least three months ahead of the scheduled examinations. However, they will be needed to take up Course work 2 including examination on Chosen area of Research.

13. CONFIRMATION OF PROVISIONAL REGISTRATION

The provisional registration of a candidate for Ph.D Degree shall be confirmed on the receipt of the successful completion of the Course Work 1 &2 and Part I Methodology examinations. The Part-I Methodology Examination result shall be approved by the Vice-Chancellor of SBV.

14. CANCELLATION OF REGISTRATION

In case the progress of the Research Scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the Research Scholar fails to implement these

corrective measures, the Research Advisory Committee may recommend to the SBV with specific reasons leading to the cancellation of the PhD registration of the research scholar.

15. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS / CREDITS FOR AWARD OF THE DEGREE, ETC

- 15.1. The overall minimum credit requirement, including credit for the course work, for the award M.Phil degree shall not be less than 26 credits.
- 15.2. Upon satisfactory completion of course work, and obtaining the marks / Grades prescribed in Sub clause 12.9 of these regulations, the M.Phil / PhD scholar shall be required to undertake research work and produce a draft dissertation / thesis within a reasonable time, as laid down by SBV on the basis of these regulations.
- 15.3. Prior to the submission of the dissertation / thesis, the scholar will make a presentation in the department concerned and in the presence of Research Advisory Committee (RAC). The presentation is open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation / thesis in consultation with the Research Advisory Committee (RAC).
- 15.4. M.Phil Scholars will present a minimum of One Research Paper in a conference / seminar and PhD scholars must publish a minimum of One Research paper in referred journals and make Two Paper presentations in conferences / seminars prior to the submission of the dissertation / thesis for adjudication and produce the evidence for the same in the form of Presentation Certificates and or Reprints.
- 15.5. The M.Phil dissertation will be evaluated by the Research Supervisor and One external Examiner. The Viva Voce examination will be conducted by both the examiners and is public.
- 15.6. The PhD thesis will be evaluated by the Research Supervisor, One external examiner from inside the Country and one external examiner outside the country. The Public Viva will be convened by the Research Supervisor and will have the Head of the department and an External Examiner from inside the country in the Examination Board.

16. SYNOPSIS

Not less than three months prior to the submission of the thesis, the PhD candidate will submit to the university four (4) copies of the synopsis of the thesis, duly forwarded by the guide based on the recommendations of the Research Advisory Committee. The copies should be sent along with the application, filled in format and prescribed fee in the form of demand draft drawn in favour of Sri Balaji Vidyapeeth, payable at Pondicherry.

The Synopsis should be in a condensed form and highlight aims and objectives, work completed, results / outcome. The candidate shall also submit the electronic version (Read only format) of the synopsis.

17. PANEL OF EXAMINERS

The Synopsis should be sent to Two External Evaluators (One within the Country and another Overseas). The External Evaluators will be selected by the Vice-Chancellor from a panel of 5 names each suggested by the Guide. Vice-Chancellor in turn will forward the names of the external evaluators by mentioning the first, second and third choice. The Controller will forward the synopsis to the concerned evaluators requesting for their concurrence to evaluate the thesis giving a timeline of 30 days. An extension of 15 days is allowed for obtaining the concurrence.

18. THESIS SUBMISSION

The PhD programme culminates in the submission of a compilation in the form of thesis. The thesis should signify a substantial work of original research carried out by the candidate under the guidance of the research guide concerned.

A plagiarism check duly certified by the Dean - Research should necessarily be incorporated in the thesis. The permitted percentage of plagiarism should not exceed Ten percent (10%).

The thesis in soft bound copies (2nos) has to be submitted to the Controller of Examinations through the Registrar, for onward transmission to the external evaluators.

The title page of the thesis, cover format, etc., should strictly conform to the format of presentation as prescribed (**VIDE ANNEXURE**) and the thesis (all copies) should carry a declaration by the candidate (**VIDE ANNEXURE**) a certificate (**VIDE ANNEXURE**) duly signed and issued by the guide and co-guide, if any and Plagiarism certificate endorsed by the guide. (**VIDE ANNEXURE**) and the **Ethics Clearance Certificate / Waiver Certificate**.

Supplementary papers to the Thesis such as copies of reprints of publication as contribution to the knowledge of the subject may also be appended to the thesis by the research scholar. It is mandatory that each PhD candidate need to publish/get the acceptance letter of at least one publication and Two paper presentations out of their Ph.D. research and the same need to be appended in the Ph.D. thesis. For M.Phil candidates, a minimum of One Research paper presented in a conference / seminar is mandatory.

The approved thesis incorporating all the suggestions/corrections suggested by the examiners and the letter of certification stating the execution of correction by the guide, should be submitted as Hard bound copies Eight (8nos) and electronic Form (Read only format) to the Controller of Examinations through the Registrar not later than 6 months from the date of submission of synopsis.

The Thesis shall ordinarily be submitted within the stipulated time line in accordance with the course duration as mentioned under the duration of the programme. Where a research scholar has submitted the synopsis but is unable to submit the thesis within the time prescribed, extension of time for submission of thesis may be granted by the Vice-Chancellor subject to maximum of One year for valid reasons, on payment of penal fees as may be prescribed. The candidate has to submit revised synopsis approved by the Research Advisory Committee and this time the synopsis should be sent to a new set of external evaluators from the panel already submitted. The new evaluators will be selected by the Vice-Chancellor from the panel already submitted.

In the event of a Patentable work arising out of the thesis, it is to be noted that a provisional patent has to be filed ahead of the submission of the thesis.

19. Submission of Thesis before the minimum period prescribed

Notwithstanding anything contained in these regulations regarding the minimum period of research to be put in by candidates before becoming eligible to submit their theses for the degree, it shall be competent for the Academic Council to permit candidates to submit their theses earlier by a period not exceeding six months provided such request for earlier submission from candidates is accompanied by

(a) the recommendations of the supervisor for relaxation based on the satisfactory completion of the research work for the thesis topic with evidence that the candidate had been working consistently even prior to their provisional registration for the Ph.D. Degree on the topic of his research; and

(b) Evidence of having completed the required work for the thesis by way of reprints of at least three publications in the topic of Ph.D. research in indexed journals.

20. THESIS EVALUATION

The thesis submitted will be forwarded to the two external evaluators in the form of hard copy as well as the electronic format. The Guide will be the third examiner. The report sent by the external evaluators will be in the following format,

1. The thesis to be accepted for the award of PhD degree in the present form.
2. The thesis to be accepted for the award of PhD degree following minor corrections/ revisions.
3. The thesis can be passed after obtaining clarifications at the time of Viva-Voce.
4. The thesis be revised and resubmitted for evaluation.
5. The thesis be rejected.

If the thesis is approved, each evaluator may seek clarifications and pose questions, if any, to be answered at the time of open/ public Viva voce.

When evaluators differ in their opinion while evaluation of thesis:

In case both the evaluators have not commended, the thesis shall be rejected and the registration cancelled.

In case one of the two evaluators has not commended, then the thesis shall be again referred to a third evaluator either Indian or Overseas (Chosen by the Vice-Chancellor) as the case maybe from the panel of evaluators already submitted. If the third evaluator commends the thesis, the candidate shall be allowed to take up the Viva Voce examinations. If the third examiner does not commend the thesis, it shall be rejected and the registration cancelled.

Copy of the thesis should be uploaded in INFLIBNET/ UGC as well as in the University website highlighting the Title, candidate name, Guide, Head of the department concerned and the department involved, by the candidate.

Upon receiving the satisfactory reports from the Evaluators, a Public Viva-Voce will be arranged. The Viva-Voce board will comprise of the Guide who will be the convener. The board will also include one External member (Evaluator of thesis) and the head of the department concerned. In case if the head of the department happens to be the guide, the Dean - Research will nominate a senior member of the staff from the same department.

21. REVISION AND RESUBMISSION OF THESIS

If the examiner recommends change / further work, the thesis will be referred to the same examiner, following compliance, for his /her opinion - overseas / Indian examiner and his / her recommendations would be deemed final.

If the examiner/examiners explicitly suggest the need for revision and resubmission for further examination, then the revised thesis duly certified by the Guide, Research Advisory Committee/Board shall be sent to the same examiner for further evaluation. In the absence of such a statement or if the examiner concerned specifically instructs that the revised thesis need not be sent back to him / her, the revised thesis duly certified by the Guide, Research Advisory Committee and the Dean / Board shall be accepted and the candidate would be allowed to take up the open/ public viva- voce.

The candidate should essentially revise and resubmit the thesis and in any case not later than Three months from the date of communication from the University. The process of thesis evaluation would automatically stand cancelled, if the candidate fails to submit the revised form of the thesis within the stipulated time.

If the thesis is recommended to be revised by one or both the examiners, the points of revision would be indicated clearly in the report. The necessary corrections should be carried out and the revised version sent to the concerned examiner (s). Following this, if the revised version is found unsatisfactory, the thesis would be summarily rejected. If the thesis following revision is accepted by the Board of Examiners (Evaluation), an open/ public viva-voce examination will be conducted by the viva-voce board.

22. EXTENSION OF TIME

Such of those scholars who do not submit the thesis within the stipulated period should apply for extension, with a requisition, three months prior to the stipulated period. Extension of time and the fees to be paid would be considered by the Dean (Research), based on the recommendation of the Guide and the Head of the department. Following approval, the candidates would be eligible for extension of time for a maximum period of one year.

The scholar will have to enroll as a fresh candidate if he / she fails to submit the thesis within the maximum extension period of one year when granted.

If a scholar requires a few more months following the expiry of maximum extension period for the submission of the thesis as per the evaluation of the Guide and duly recommended by the head of the department and the Dean (Research) as a case that is exceptional, registration may be considered viable so as to enable the scholar submit the thesis. In any case, the period of time granted shall not exceed six/ twelve months.

23. NUMBER OF CHANCES

A candidate will not be permitted to submit a thesis for the degree on more than two occasions. Also, the candidate (scholar) will not be permitted to appear for the viva-voce examination on more than two occasions.

24. OPEN (PUBLIC) VIVA-VOCE

a). Upon receiving the satisfactory reports of the evaluation, the public viva-voce examination will be convened by the Guide, in consultation with the external examiner. The viva-voce board shall essentially comprise of the Guide (Convener), one external examiner who had evaluated the thesis and the head of the department. If the Head of the Department happens to be the Guide, the Dean (Research) will nominate a senior faculty of the concerned department. Upon receiving the communication from the University stating that the thesis has been approved, the Guide / Supervisor shall coordinate and conduct the public viva-voce examination for the candidate.

b). The viva-voce will be open to all those who are interested in the concerned research topic/ subject area. The notice should be circulated to all the colleges / Universities in the area and uploaded in SBV website at least ten days prior to the conduct of the viva-voce. Attendance details of those who had attended the public viva-voce should be dispatched to the Registrar, with a copy addressed to the Dean (Research).

c). For reasons beyond control, if the Indian examiner (External) is

unavailable to conduct the viva-voce, the University may appoint an eminent person (as an alternative), preferably from the panel of examiners that had been submitted previously, for conducting the viva-voce.

d). The maximum time limit for conducting viva-voce examination shall be three months from the date of consolidation of reports received from the External Evaluators. If the candidate fails to take the viva-voce examination within three months on valid grounds, the Vice- Chancellor can permit a maximum of three more months as extension period, upon receiving specific request with justification from the Guide and routed through the Research Advisory Committee and the Board. However, if the candidate fails to take the viva-voce even after the extension, the Ph.D., registration gets cancelled.

e). The viva-voce can be held on any working day of the University. However, no viva-voce shall be held until one week following the availability of the final version of the thesis at the Office of the Controller of Examinations and the University Library.

f). In case the Viva examiner is not in a position to travel to the University, the Guide/ Supervisor can arrange the Viva-voce, but with the participation of the Viva examiner through Video conferencing.

g). In the Viva-voce, the Guide/ Supervisor will formally introduce the Viva examiner to the audience. He/ She will conduct the examination. The candidate shall have a minimum of Thirty minutes Power Point presentation of the thesis. Following the presentation, the Viva examiner shall initiate the questions that would be followed by the questions posed by the faculty present and the general public.

h). Following the conduct of the Viva-voce examination, the Guide who is the convener shall officially convey to the Controller of Examinations, SBV through the Head of the department/ Dean- Research, the result of such examination endorsed at the public viva. The result will be published officially by the Controller of Examinations endorsed by the Vice-Chancellor of the University and the candidate shall be declared to have qualified for the PhD degree.

i). A candidate who is not successful in the public Viva-voce examination may be permitted to undergo the Viva voce examination a second time, but within a period of Three months. In the event of the candidate failing again, the candidature will be summarily rejected.

J). The proceedings of the public Viva-Voce should be videographed by the Audio - Visual Unit of SBV (Expenses to be borne by the candidate) and handed over, in the unedited format, to the Office of the Registrar. The

VCDs/ DVDs would be the sole property of SBV and would normally not be given to the candidate or the guide, unless directed by the court of law.

25. AWARD OF DEGREE

The University shall duly consider the reports and decide on the worthiness of the candidate for receiving the degree of Doctor of Philosophy and initiate action in accordance with the decision.

The University shall include the following details in the PhD degree certificate awarded to the candidates,

- a. Full title of the PhD thesis and
- b. The Faculty under which the degree is awarded.

Regarding the faculty, the faculty of the qualifying degree and the research work will be considered and the decision will be taken on a case to case basis.

Prior to actual award of the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions, as laid down in UGC Regulations in force.

26. THESIS REPOSITORY WITH UGC

Following the successful completion of the evaluation process and announcement of the award of PhD degree, the University shall submit a soft copy of the PhD thesis to the UGC within a period of Thirty (30) days for hosting the same in INFLIBNET, accessible to all the institutions/ Universities.

(The Shodhganga@INFLIBNET Centre provides a platform for research students to deposit their Ph.D. theses and make it available to the entire scholarly community in open access. The repository has the ability to capture, index, store, disseminate and preserve ETDs submitted by the researchers.)

27. PUBLICATION OF THESIS

The thesis is a public domain document and the research embodied in the thesis may be published in part in peer reviewed journals or in the form of monograph, with the prior approval of the Dean - Research / Vice-Chancellor of SBV.

28. SPECIAL PROVISION

In case of relocation of a women PhD scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these regulations are followed in letter and spirit and the research work doesnot pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar shall however give due credit to the parent guide and the institution for the part of research already done.

29. POWER TO REMOVE ANY DIFFICULTY

If any difference of opinion develops between the PhD scholar and the guide/ Supervisor at any given time during the course of the M.Phil / PhD programme, the appellate authority will be the Dean - Research. The decision of the Vice-Chancellor shall be final and binding.

The Vice-Chancellor / Academic Council have the powers to remove any difficulty while implementing this programme, not withstanding whatever said above.

