

# **SRI BALAJI VIDYAPEETH (SBV)**

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

Accredited by NAAC with A ++ Grade and Listed u/s 12 B of the UGC Act, 1956

SBV Campus, Pillaiyarkuppam, Pondicherry-607402.



**MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF DEGREE OF  
DOCTOR OF PHILOSOPHY (Ph.D.) REGULATIONS 2024,  
IN COMPLIANCE WITH UNIVERSITY GRANTS COMMISSION MINIMUM  
STANDARD AND PROCEDURE FOR AWARD OF Ph.D. DEGREE REGULATIONS, 2022**

<b>S.No</b>	<b>CONTENT</b>	<b>Page No.</b>
1.	Preamble	4
2.	Short title, application and commencement	4
3.	Eligibility criteria for admission to PhD programme	5
4.	Requirement of Experience ( <i>Ph.D. : Full Time, Part time</i> )	6-7
5.	Duration of the Programme	8
6.	Procedure for Admission	8-9
7.	Supervisors / Guides for PhD programme	10-13
8.	Duties of the Recognized Guide / Supervisor	14
9.	Duties of the co-guides	14-15
10.	Research Advisory Committee (RAC)	15-17
11.	Ethics Clearance / Waiver	17-18
12.	Course Work	18-19
13.	Duties and responsibilities of PhD Scholars	19-22
14.	Confirmation of Provisional Registration	23
15.	Cancellation of registration	23
16.	Evaluation and Assessment Methods, Minimum Standards / Credits for Award of the Degree, etc	23-24
17.	Panel of Examiners	24-25
18.	Synopsis	25
19.	Thesis submission	25-27

<b>20.</b>	Thesis evaluation	27
<b>21.</b>	Revision and Resubmission of Thesis	28
<b>22.</b>	Extension of Time/ Number of Chances	28-29
<b>23.</b>	Open (Public) Viva-voce	29-31
<b>24.</b>	Award of Degree	31
<b>25.</b>	Thesis Repository with UGC	31-32
<b>26.</b>	Publication	32
<b>27.</b>	Special Provision	32
<b>28.</b>	Power to remove any difficulty	32
<b>29.</b>	Fee Details	32
	Annexure I: Proforma for submission of minutes and recommendations of the research advisory committee (rac) meetings	33-36
	Annexure II: Revised Guidelines for the preparation and submission of doctoral (Ph.D.) and M.Phil. Synopsis & Thesis	37-43
	Regulations on Spilt Ph.D. Programme	44-45

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## **MINIMUM STANDARDS AND PROCEDURE FOR THE AWARD OF DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) REGULATIONS 2023, IN COMPLIANCE WITH UNIVERSITY GRANTS COMMISSION MINIMUM STANDARD AND PROCEDURE FOR AWARD OF Ph.D. DEGREE REGULATIONS, 2022**

### **1. PREAMBLE**

Sri BalajiVidyapeeth 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, Nursing, Interdisciplinary Research and other Allied Health Sciences in constituent colleges / centres of this Deemed University.

### **2. SHORT TITLE, APPLICATION AND COMMENCEMENT**

**2.1.** These Regulations may be called SBV- Minimum Standards for the award of degree of Doctor of Philosophy (Ph.D.) Regulations 2023. These Regulation are based on and in conformity with the UGC – Minimum Standards for the award of the degree of Master of Philosophy (M.Phil.) / Doctor of Philosophy (Ph.D.) Regulations 2022.

**2.2.** These Regulations will apply to the constituent colleges / centres of Sri BalajiVidyapeeth which offer Ph.D. programmes.

**2.3.** These were approved by the 33rdAcademic Counciland shall come into effect immediately.

### **3. ELIGIBILITY CRITERIA FOR ADMISSION TO PhD PROGRAMME:**

Subject to the conditions stipulated in these regulations, the following candidates are considered eligible to seek admission to the Ph.D. programme:

- 3.1.** Master's degree holders, M.Phil degree holders satisfying the criteria as stipulated under Clause 2 above of these regulations.
- 3.2.** Candidates who have cleared the M.Phil degree 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 and in conformity with these regulations that are based on UGC Regulations 2022 – Minimum Standards for the award of Master of Philosophy (M.Phil) and Doctor of Philosophy (PhD). The eligibility marks of 55% (or an equivalent grade in a 7 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, excluding the grace mark procedures.
- 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 or from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other Statutory authority for the purpose of assessing, accrediting or assuring quality and Standards of educational institutions.

#### **4. REQUIREMENT OF EXPERIENCE: (Ph.D: Full Time, 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 (Medical/ Dental) Degree or equivalent there to, in the concerned subject, are exempted from this experience criterion at the discretion of the University. Teaching experience of one year post M.Sc. Nursing is essential for Ph.D. in Nursing, as per the Indian Nursing council Notification, 2020.
- 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 having 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 (External) 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.
- 4.10.** Overseas Candidates who are self-supporting or sponsored, seeking admission into the PhD programme should essentially possess a valid Research Visa granted by the Indian Embassy in that particular country of the candidate's origin.

**NOTE: SBV does not offer PhD programme under Distance (Correspondence) / Online Mode.**

## **5. DURATION OF THE PROGRAMME:**

**5.1.** 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.

### PART TIME

Part Time candidates shall have to complete a minimum of four years and are allowed a maximum of Eight years from the date of provisional registration.

**The recommendations UGC as per their 2022 Notification is as follows:**

(1) Ph.D. Programme shall be for a minimum duration of three(3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme.

(2) A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

Provided further that, female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.

(3) Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

## **6. PROCEDURE FOR ADMISSION:**

**6.1.** Sri Balaji Vidyapeeth shall admit PhD scholars through an Entrance / Screening Test conducted at the level of the University. SBV will conduct a Selection interview for those scholars who qualify UGC – NET (including JRF / UGC – CSIR NET / JRF / SLET / GATE / Teacher Fellowship / M.Phil or equivalent/ Project Fellows recruited through EMR grants).



- 6.2.** SBV will decide on a biannual basis through its academic bodies a predetermined and manageable number of PhD scholars to be admitted in a year during the academic year October –September, depending on the number of available Research Supervisors and other infrastructure, academic facilities available keeping in mind the scholar- Teacher ratio. 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.
- 6.3.** A candidate should score a minimum of 50% at the Entrance test in order to qualify for the interview and counselling. The syllabus for the Entrance test will consist of 50% of Research Methodology and 50% on the specific subject. The interview / counselling 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, in compliance with regulatory agencies.
- 6.4.** Candidates admitted under MoU between SBV and a University / Institution in India or abroad where specific clause(s) exist for registration of candidates to 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. Candidates sponsored by the insitutions under MoU with SBV who satisfy the eligibility criteria are exempted from the Entrance Test.

Mere possession of required educational and other qualifications alone cannot be claimed as a right for admission to the Ph.D. Programme in Sri BalajiVidyapeeth, Pondicherry.SBV will maintain the list of all the PhD registered scholars on the website by indicating the Scholars and their respective guides on annual basis. The list will include the name of the registered candidate, Unique Identification number of the candidate, topic of PhD research, name of the supervisor / co-supervisor and date of enrollment / registration.

## 7. SUPERVISORS/ GUIDES FOR 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.

### 7.1. Eligibility Criteria for Supervisors / Guides:

#### **Faculty with with MD/MS/MDS**

Any full time teacher in the capacity of *Associate Professor and above* with MD/MS/MDS in the concerned subject or allied subject. Professor should have published at least Five Research Papers and Associate Professors should have published at least Two Research Papers in UGC Approved Journals as the first or corresponding author. Should have a **Teaching experience of Five years post MD/MS/MDS.**

Any Full time Teacher with Super Speciality qualifications like **M.Ch/D.M** in the concerned or allied subjects with at least two Research Papers in UGC Approved journals and has **minimum Two years Teaching Experience, post DM/M.Ch**

The maximum number a Ph.D. Guide can have (as Guide and as Co-Guide) will be as per UGC norms.

Any regular Professor /Associate / Assistant Professor in any of the constituent colleges / centres / Central Library **with a doctorate degree (PhD)** and a minimum of three research publications in refereed journals (either as a first author or corresponding author) will be recognized as Research Supervisor / Guide for PhD programme.

Faculty in other academic departments/ Scientists with PhD/D.Sc in MGM Advanced Research Institute (MGMARI), Animal House and Central Library 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 three publications in reputed peer reviewed journals (either as a first author or corresponding author) may be recognized as a supervisor to guide Full time / Part-time research scholars 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.

## **7.2. Guidelines for Guide / Supervisor recognition in inter- disciplinary research**

In inter-disciplinary/ multi - disciplinary subjects (e.g. Medical Genetics, Biophysics, Biotechnology, Biological Sciences, 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) / Vice President (RI &D) 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 only a limited number of refereed 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 Dean-Research, SBV.**

## **7.3. Allocation of Guides/ Co-guides**

It is the prerogative of the Dean-Research 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 subject to the due approval of the Dean-Research. For Part Time candidates it is mandatory to have a co-guide from the institute where the research work is being carried out.

## **7.4. 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 scholars enrolled.

If the guide happens to be an Associate Professor he can guide a maximum of Six (6) PhDscholars 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.

**Ph.D. Nursing Guides** can have a maximum of 6, 4, and 2 doctoral scholars for Professor, Associate Professor and Assistant Professor respectively.

#### **Admission of International students in Ph.D. programme:**

Each supervisor can guide up to **two international research scholarson a supernumerary basis over and above the permitted number of Ph.D. scholars.**

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

#### **7.5. Age limit for the guides:**

The upper age limit for a recognized 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.

If in case the Research Supervisor superannuates during the course of PhD of the Scholar, the Guide can continue to remain so, provided at the time of superannuation, the candidate had put in three years of PhD research. If the candidate has not completed three years, the candidate has to apply for change of guide as per regulations.

#### **7.6. Conflict of Interest:**

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

#### **7.7. Absence of guide (Prolonged period):**

In the case of absence of the guide for a prolonged period, the Dean – Researchreserves the right to appoint another eligible faculty as guide, based on the recommendations of the Research Advisory Committee, subject to the *post facto* approval at the subsequent Academic Council meeting. 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.

### **7.8. Change of guide:**

In case the Guide leaves the institution, he or she can continue to guide the scholars under their guidance if the candidate has completed all the major components of the work upon the approval of the Dean – Research. Allotment of a co-guide from SBV is mandatory for such of those candidates in such a situation. SBV reserves the right to change the Guide if he / she leaves the institution or permit them to continue their guideship for one more year or till the candidate completes the Public Viva Voce, whichever is earlier.

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 further change of guide upon the approval of Dean – Research. 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 prolonged period. Furthermore, under extraordinary circumstances, the change of guide may be permitted with the approval of the Dean – Research and also based on the recommendations of the Research Advisory Committee.

- Till a new guide is selected and appointed with the approval of the Dean – Research, 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 following approval of the provisional registration and prior to the completion of the Course Work as approved by the academic Council.
- Only one change of guide is permissible under ordinary circumstances.

## **8. DUTIES OF THE RECOGNISED GUIDE / SUPERVISOR:**

- The Guide will be Convener of the Research Advisory Committee.
- 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 follow up with the University for those candidates who have already submitted the Synopsis/Thesis in order to avoid undue delay.
- The Guide shall also be the convener of the Public Viva Examination Committee.
- 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.

**SBV Mandate: 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.**

## **9. 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 after approval by Dean Research. The number of candidates registered under co-guide shall not be taken into consideration while counting the permissible number of candidates registered under him / her, as guide for PhD. 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. The presence of Co-guide(s) is mandatory at the Research Advisory Committee meetings. However, under extraordinary circumstances the Co-guide(s) can appear through video conference.

## 10. RESEARCH ADVISORY COMMITTEE (RAC)

### 10.1. Formation of Research Advisory Committee (RAC)

The guidelines for formation of Research Advisory Committee (RAC) are as follows:

- (a) When the candidate is accepted for provisional registration, a RAC will be constituted. The RAC committee shall consist of guide/supervisor (as Convener he/she would initiate steps for the formation of the Committee), **one faculty member from outside and one within the institute who are specialized in a related field** shall be included in the committee. All the suggested external members in the panel must be recognized research guides. In the case of research scholars carrying out inter-disciplinary research, the guide can recommend a person, who is an expert in the other discipline concerned, as the co-guide, to the Dean Research for his / her approval. Among the two Subject experts of the RAC, both can be external or one Internal and one External as per the choice of the Guide and approval to be obtained from Dean Research. Maximum number of the committee shall be **Five members**.
- (b) The first meeting of the Committee should be conducted within two months after provisional registration. In this meeting, the Committee should prescribe the syllabus and course work for the candidate as the mandatory requirement for the completion of the Course Work. It will also guide the candidate to develop the study design and methodology of research.
- (c) The Committee shall meet a minimum of once in six months, to review the progress of the research, discipline and conduct of the PhD candidate. The committee shall make suggestions for the future work, and submit report on the progress to the Dean – Research. Minutes of the RAC should be submitted to Office of the Dean – Research as per guidelines given in Annexure II
- (d) The RAC after examining the progress made by the candidate shall recommend the submission of the synopsis and the thesis within the due date stipulated by the Institute. RAC shall endorse changes in the title of the thesis, if any.

Zoom meeting (online) shall be permitted by the Dean (Research) to facilitate the external members of RAC to participate in the RAC meeting. The student has to be mandatorily present where the RAC meetings physically happen.

Only Sitting fee will be paid for the External Members (Except Co-guides) who appear online for the RAC meetings.

**Research Advisory Committee (RAC): (To meet once in Six months in June/ July/August and December/ January/February every year).**

SBV will have Research Advisory Committee (RAC) for each PhD scholar. The following is composition of RAC: (Not more than FIVE)

Guide	-	Convener
Co-Guide (s)	-	Member (s)
Subject Expert (two Members)	-	One External Member and
	-	One Internal member from SBV
		(Or Both External members)

#### **10.2. Functions of RAC:**

- To Review the research proposal and finalize 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 will have to do.
- RAC in its first meeting should finalise the contents of course work. To review the clearance from the IHEC / IAEC to see whether appropriate clearance / waiver has been obtained by the candidate.
- To confirm whether the work being carried out by the candidate is as per the proposal / protocol approved by the IHEC / IAEC.
- Guide before the end of the first year should forward the Grades/ marks of Course work to the Dean Research for onward transmission to the Controller of Examinations, for finalization of the results.
- To periodically review and assist the progress of the research work of the research scholar.



- The RAC shall consider the recommendations / modifications if any by the concerned Institutional Research Council/ Ethics Committees on valid grounds.
- RAC will periodically review the authenticity of the research work being carried out by its scholar. At the FINALRAC, the committee will certify that the research work has been completed satisfactorily, the Raw Data has been duly verified and that the candidate may be allowed to prepare / submit the SYNOPSIS of the Ph.D. thesis. The Final RAC, which has replaced colloquium should be attended by all RAC members, Department faculty, Ph.D. scholars and other Faculty from the related departments.
- The first meeting of the RAC 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) by the RAC shall be submitted before the completion of the Six months period from the date of provisional registration. The subsequent committee meetings should be held twice in a year in the month of **June/ July /August and December / January/February every year** to scrutinize the annual progress made by the candidate. When the research work is nearing the final stage, the committee after duly examining the progress made by the candidate shall recommend for the submission of the synopsis following the conduct of colloquium.

**The Research Advisory Committee can recommend minor changes in the topic of thesis, if any, at a later stage 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 clearance/ waiver of the topic. The certificate of clearance has to be submitted to Dean -Research / Vice President (RI &D) within ONE year from the date of provisional registration of the candidate. Wherever it is deemed appropriate with reference to the topics not covered by IHEC/IAEC, a competent committee (e.g. stem cell committee) would review and address the issue suitably.

**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

**Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**

(1) **The Credit requirement for the Ph.D. coursework is a minimum of 12 credits**, including a **“Research and Publication Ethics”** course as notified by UGC vide D.O. No. F.1-1/2018(Journal/CARE) in 2019 and a research methodology course.

(2) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

a. The course work shall be treated as a prerequisite for PhD preparation.

**Four credits** shall be assigned to Research Methodology and Biostatistics (**conducted by Deanery Research, SBV**).

**Two credits** for Research and Publication Ethics (**RPE**) **mandated by UGC**

**For all Ph.D. students (students to register in SWAYAM)**

**Six credits** shall be assigned to chosen area related to his/her Thesis. (**Assessment by Guide & RAC**)

**The details are given in the table below**

Sl. No	Course work	Credit Value	Marks	Minimum Marks/ Grade for passing	Evaluation by
1.	Research Methodology and biostatistics	4	100	55% (B+ Grade)	Deanery Research
2.	Research and Publication Ethics ( <b>RPE</b> )	2	100	55% (B+ Grade)	Students to register in <b>SWAYAM</b>
3.	Chosen area of Research (Review of Literature, Recent developments in the topic of research, Need for the study, Techniques and methods related to chosen topic of subject)	6	100	55% (B+ Grade)	Guide & R.A.C.

- 12.1.** All courses prescribed for PhD shall be in conformity to the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 12.2.** 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 11.1. of these regulations.
- 12.3.** All candidates admitted to the PhD programmes shall be required to complete the course work prescribed by the Department / Research Advisory Committee during the initial one year.
- 12.4.** The credits in the course works pertaining to PhD programme, including Research Methodology and the specified areas of research shall be declared by the Controller of Examinations, *upon approval of the passing Board* and the final grades shall be communicated to the candidates. The guide / department should refrain from spelling out the grades obtained by the candidates until the official results are declared.

**Successful completion of the course work:**

1. Candidate should secure minimum 55% marks or its equivalent grade (B+) towards the successful completion of the Course work.

**13. DUTIES AND RESPONSIBILITIES of PhD SCHOLARS**

The work of the PhD scholar shall be monitored and assessed continuously by the guide and submitted to the office of the Dean (Research) bi-annually in the form of RAC minutes on the work progress and conduct of the PhD scholar. Hence, the PhD scholars should be diligent in the discharge of their duties and should not indulge in any indiscipline, professional or research misconduct lest it may result in cancellation of their PhD registration.

The PhD scholars shall interact with the guide on regular basis to discuss the work progress and to plan the work to be done. The scholar shall make a record of such interactions signed by both the scholar and the guide. The same shall be put before the RAC. Their comments shall be reflected in the RAC meetings submitted to the Dean (Research).

The PhD scholars shall maintain a SBV PhD log book and e-portfolio as per the institute protocol. The duly filled in log book with the signatures and comments of the guide shall be submitted to the Dean (Research) along with bi-annual report. It should be maintained till the completion of

the research work. It has to be supervised and signed by the Guide / Co-guide. The log book and e-portfolio should be updated regularly every fortnight and made available at all times as deemed appropriate by the Guide or the members of the Research Advisory Committee. The photocopies signed by the Guide should be submitted along with the thesis at the time of final submission.

If the Ph.D. Scholar is found to be lagging in his/her research work or indulges in indiscipline pertaining to research or professional conduct, he/she shall risk disciplinary action including cancellation of PhD registration and the amount will be recovered, in part or in full, towards the grants released for research purposes, on the recommendation of Dean Research.

No candidate shall be allowed to register simultaneously for any other Degree / Diploma programme after registering for Ph. D.

- For Full Time candidates, he or she should sign in the attendance register maintained in the concerned department. He / she is expected to put in a minimum of 80% attendance in each year failing which the scholar will not be permitted to submit the thesis. A PhD Full Time Scholar may be permitted to carry out part of research work (after obtaining due permission from the Dean Research for data collection, conducting experiments, training techniques, attending conference for a period not exceeding SIX months during the entire duration of the programme.
- For Part Time (External) candidates, the requirement of attendance will be strictly as given below. **The candidates should mandatorily be present at the headquarters of the University for a period of 30 days every year from the period of registration until the submission of thesis, is mandatory.** He / she is expected to put in a minimum of 80% attendance in his / her place of research for Course work and the submission of Synopsis / Thesis, failing which the scholar will not be permitted to submit the thesis. The Co-Guide at the place where the candidate is working should mandatorily certify the bi-annual RAC report of the candidate.
- Part Time (Internal) candidates, are expected to put in a minimum of 80% attendance every year in his / her place of research for the Course work and the submission of the Synopsis / Thesis, failing which the scholar will not be permitted to submit the thesis in the remaining years. The Guide should mandatorily send the bi-annual RAC report of the candidate.

**As per UGC 2022 notification, All Ph.D. scholars, irrespective of discipline, shall be required to train in teaching /education /pedagogy/writing related to their chosen Ph.D. subject during their doctoral period. Ph.D. scholars may also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.**

**NOTE:** A separate attendance register should be maintained by the Guide for the Full Time and Part Time (Internal) Candidates. For the part time external candidates the Co-guide has to maintain a separate attendance register at the place of research. This copy has to be attached with the RAC report. (As per Annexure III). **Part time external candidates (both Indian and overseas) during their visit to SBV for RAC meetings and interaction with the primary guide shall sign in the attendance maintained at Deanery Research/Ph.D. Guides at SSSMCRI.**

### **SCHOLAR REDRESSAL**

- All complaints to be addressed to Dean –Research / Vice President (RI & d) in written
- All complaints to be routed through Guides and If the complaint is about Guide/Co Guides it can be directly submitted to PhD RMC.
- Non-academic complaints to be addressed to Grievance cell / Woman cell as per the case requirement

### **NOTE TO THE PhD SCHOLARS:**

It is to be noted that the PhD Scholars should successfully complete the course work within ONE year of their provisional registration. However if the candidate fails to complete the same within One year from the date of registration, he or she will be given two more chances to complete the same. PhD Registration will automatically cease if the candidate fails to complete the Course work within TWO years of his / her provisional registration.

**The topics for course work shall cover the following:**

**Paper– I : Principles of Research Methodology and Biostatistics (Common Paper to all candidates)**

- 1) General Research Methodology.
- 2) Bio-Statistics
- 3) Ethical aspects of Research.  
Animal Experimentation and Instrumentation (wherever applicable may be incorporated in subject paper).

**Paper– II : Chosen area of research**

As approved by the Research Advisory Committee at its first meeting

**CRITERIA FOR OBTAINING CERTIFICATE OF EQUIVALENCE FOR RESEARCH METHODOLOGY COURSE (4 CREDITS)**

As per this regulation, a mandatory requirement of completing 4 credits is a prerequisite for successful completion of the course work for Paper I. Such of those candidates who are unable to attend the classes on Research Methodology and Bio-statistics conducted by the Deanery of Research, SBV at the headquarters have to necessarily submit a course equivalent certificate wherein the candidates earning a minimum of 4 credits (1 credit = 16 personal instructional hours or 32 hours of Heutagogy (Self Learning)). However if it is facilitated outside SBV (part-time external), the certificate of equivalence should be approved by the duly formed committee for this purpose by SBV. By rule, 80% concordance with the content and duration of course offered at SBV is required.

**Research and Publication Ethics (RPE):** This is a UGC mandated compulsory course for ALL Ph.D. scholars. The students shall register in ‘SWAYAM’ portal, appear, complete and pass the examination within the first two years and submit a copy of the certificate to SBV

**PRE- Ph.D. EXAMINATION for Ph.D. NURSING SCHOLARS:**

Pre-PhD. Examination shall be conducted in accordance with **Indian Nursing Council guidelines dated 6<sup>th</sup> November 2020**, after the completion of one year from the date of provisional registration of the candidate. The scheme of Pre-Ph.D. Examination to be conducted by the University shall be as follows:

Sl. No	Subject	Duration	Marks
<b>Paper-I</b>	<b>Research Methodology &amp; Applied Statistics</b>	<b>3 hours</b>	<b>100</b>
<b>Paper II</b>	<b>Nursing Science and Theory Development</b>	<b>3 hours</b>	<b>100</b>
	<b>Seminar/Term paper in the area of research (Internal Assessment)</b>		<b>100</b>
	<b>Viva-Voce (Proposal defence)</b>		<b>100</b>

**Note: 1. Conducting the online Self-study Course work and assessment for Paper I will be done by Deanery Research, SBV. The rest of the exams will be conducted by the Principal(s) Nursing. 2. Pass marks will be 55% and above.**

## **CONFIRMATION OF PROVISIONAL REGISTRATION**

The provisional registration of a candidate for Ph.D. Degree shall be confirmed upon the receipt of the successful completion of the Course work.

## **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.
- Further if the candidate fails to appear in Research Advisory Committee meet on two consecutive occasions or if the RAC does not meet on two consecutive occasions the Registration of the candidate will automatically get cancelled.
- Failure of the PhD candidate to complete the Course Work within Two years from his / her date of provisional registration will automatically lead to the cancellation of the candidate's registration.
- If the candidate fails to remit the annual tuition fees even beyond 6 months from the stipulated time, a warning for the same will be issued by the Office of the Registrar, and if the candidate still remains a defaulter even after 3 months from the period of warning, the same will initiate severe action against the candidate even to the extent of cancellation of his or her registration.
- The registration of the research scholar will automatically cease if he / she resorts to adopting unfair means.

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

**15.1.** Upon satisfactory completion of Course Work and obtaining the marks / Grades prescribed in SBV regulations, the PhD scholar shall be required to undertake research work and produce a Synopsis / Thesis within a reasonable time, as laid down by SBV on the basis of these regulations.

**15.2. The FINAL RAC has now replaced the Colloquium:** Prior to the submission of the Synopsis, the scholar will make a presentation in the department concerned in the presence of Research Advisory Committee (RAC). This Final RAC is to be attended by all faculty members of the department as well as other allied departments and other research scholars.

**The Final RAC needs to certify that:**

- a. Raw data provided by the guide, of all the research work carried out by the candidate during the entire period till the submission of Synopsis.
- b. Proof of acceptance of two publications in peer reviewed, indexed journals.
- c. Proof of two presentations at the National / International conferences (Poster/ Paper).
- d. Proof of Ethics Clearance / Waiver.
- e. Proof of successful completion the Course Work. (Part-I of Ph.D. Examination)
- f. The feedback and comments obtained at the Final RAC may be suitably incorporated into the draft Synopsis with the approval of Research Advisory Committee (RAC).

**15.3.** PhD scholars must publish a minimum of two research papers in UGC approved journals and make two oral / poster presentations at regional / state/ national / international conferences / seminars prior to the submission of the Synopsis / Thesis for adjudication and produce the evidence for the same in the form of acceptance from the editor, Certificates of presentation or Reprints.

## **16. PANEL OF EXAMINERS**

Ph.D. Synopsis should be sent to Two External Evaluators (One within the Country and another Overseas). In view of difficulty to get five overseas examiners with the rank of Professor, names of **three Overseas Examiners (Professor/Associate Professor/Senior Scientists)** will suffice. Wherever it is not possible to get any suitable foreign examiner, due to the nature of the area of research, the guide may discuss with the Dean research and get approval to submit the names of **7 Indian examiners at the rank of Professors/Senior Scientists**. The Ph.D. Guide may contact (either electronically or through regular mail) each member in the panel of examiners to



seek their consent to be placed in the panel. He will also submit their brief biodata and their email/letter acceptance to be included in the panel of examiners.

The examiners will be given a maximum of 7 days' time to go through the Synopsis and reply.

A simple Examiner's Reply form is as follows:

i. Whether the SYNOPSIS of the Ph.D. Thesis submitted is within the area of your interest?  
**Yes / No**

ii. After going through the Ph.D. Synopsis, are you willing to evaluate the Full Ph.D. Thesis and submit your **report within Six to Eight weeks** after receipt:  
**Yes / No**

## 17. 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 BalajiVidyapeeth, payable at Pondicherry.

The Synopsis should be in a condensed form and highlight aims and objectives, work completed, results/ outcome and Overview of the theses. The candidate shall also submit the electronic version (Read only format) of the synopsis. The submission of the Synopsis will follow upon due certification by the FINAL RAC. (**Refer Annexure II regarding format for writing and submission of Synopsis, Thesis**)

After the Synopsis is accepted by both examiners, the candidate will be asked to submit the full Ph.D. Thesis within a maximum of Six months from Synopsis submission date.

## 18. THESIS SUBMISSION

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

A plagiarism check duly forwarded by the Senior Statistician, SBV will be certified by the Dean – Research should necessarily be incorporated in the thesis. The permitted maximum percentage of plagiarism is ten percent (**10%**).

The thesis in soft bound copies (2nos) along with the soft copy in 2 CDs has to be submitted to the Controller of Examinations through the Dean Research and 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 and the thesis (all copies) should carry a declaration by the candidate a certificate duly signed and issued by the guide and co-guide, if any and Plagiarism certificate endorsed by the guide. **And the Ethics Clearance Certificate / Waiver Certificate and the Course Work completion certificate** (Refer Annexure II regarding format for writing and submission of Synopsis, Thesis).

Supplementary papers to the Thesis such as copies of reprints of publication as contribution to the knowledge of the subject must be appended to the thesis by the research scholar. It is mandatory that each PhD candidate need to publish/get the acceptance letter of two manuscripts in UGC approved journals and two oral / poster presentations out of their Ph.D. research and the same need to be appended in the Ph.D. thesis. **The Publications of Ph.D. Scholars (Full time/Part time internal and Part time External) should essentially include the affiliation to the name of SBV Institution and Sri Balaji Vidyapeeth deemed-to-be University.**

The approved thesis incorporating all of the suggestions/corrections suggested by the examiners if any **in a Tabular form**, and the letter of certification from the guide stating that all the corrections have been duly made by the candidate, should be submitted as Hard bound copies six (6nos.) and electronic Form (Read only format) to the Controller of Examinations through the Dean – Research not later than 6 months from the date of submission of synopsis. The Public Viva Voce will be notified only after 15 days of receiving the final hard bound copies of the thesis.

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 (6 months), extension of time for submission of thesis may be granted by the Dean research subject to maximum of One year for valid reasons, on payment of penal fees as may be prescribed. The candidate has to now submit the thesis only following the approval of the Research Advisory Committee. This time the thesis should be sent to a new set of external evaluators 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. 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 report sent by the external evaluators will be in the following format, within a maximum period of two months.

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 Public 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 earlier 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 Public Viva-Voce examinations. If the third examiner does not commend the thesis, it shall be rejected and the registration cancelled.

## **20. 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 submission is within the prescribed period.

If the examiner/s explicitly suggest the need for revision and resubmission for further examination, then the revised thesis duly certified by the Guide 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 and the Dean Research 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.

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.

## **21. EXTENSION OF TIME / Number of Chances**

Such of those scholars who do not submit the Synopsis / Thesis within the stipulated period should apply for extension, with a requisition, three months prior to the stipulated period. Extension of time would be considered by the Dean Research, based on the recommendation of the Guide and the Research Advisory Committee. The penal fees should be paid as prescribed by SBV from time to time.

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.

**Special Extension:** 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 Research Advisory Committee, as a case that is exceptional, registration may be considered viable based on the decision of the Dean Research & Vice-chancellor, so as to enable the scholar submit the thesis. In any case, the period of time granted shall not exceed six months.

### **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 Public Viva-Voce examination on more than two occasions.

## **22. 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 following the notification from the Office of the Registrar. The Public 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 senior faculty of the concerned department. In addition there will also be an observer nominated by the Dean – Research, SBV, not a member of the public viva voce board and the observer report in confidence will be submitted to the office of the Dean – Research, SBV.

**b).** The Public 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 both online and offline 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 Dean Research 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. 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 TWO weeks following the availability of the final version of the thesis at the Office of the Controller of Examinations and the University Library.

f). Guide/ Supervisor can arrange the Viva-voce with the participation of the Viva examiner through Video conferencing.

g). In the Public Viva-voce, the Guide/ Supervisor will formally introduce the examiners to the audience. The candidate shall have a minimum of 30 minutes and a maximum of 45 minutes Power Point presentation of the thesis. Following the presentation, the examiners shall initiate the viva by posing questions raised by the examiners 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 Dean Research, the result of such examination in confidence and duly endorsed by all the members of the Public viva-

Voce board immediately following the completion of the Public Viva-Voce. The outcome of the public Viva-Voce should not be revealed at the venue of the Public Viva-Voce by any of the members of the Public Viva-Voce Board. The result will be published officially by the Controller of Examinations following the approval of 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 registration will be summarily cancelled.

j). the proceedings of the Public Viva-Voce should be video graphed by the Audio- Visual Unit of SBV (Expenses to be borne by the candidate) and the DVD handed over, in the unedited format, to the Office of the Registrar. The 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.

### **23. 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 of study (Medicine, Dentistry, Nursing, Pharmacy, Biomedical Sciences, Physiotherapy, Yoga Therapy, Health Professions Education and Multidisciplinary Research) under which the degree is awarded.

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.

### **24. 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 details will be made available in the office of the Senior statistician and research consultant.

## **25. 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.

## **26. SPECIAL PROVISION**

In case of relocation of a woman 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 does not 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.

## **27. 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 PhD programme, the appellate authority will be the Dean Research. On recommendation of 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, notwithstanding whatever said above.**

## **28. FEE DETAILS – Refer to website/ prospect**

**Mandatory requirements:** PhD candidate should publish minimum of 2 research paper in UGC Approved Journals (Scopus/Web of Science/ PubMed/UGC CARE) and present 2 scientific papers/posters presentations in conference in PhD subject area before submission of thesis.



## ANNEXURE I

### Proforma for submission of minutes and recommendations of the research advisory committee (RAC) meetings

**PREAMBLE:** The document would henceforth be made known as FORMAT FOR RECOMMENDATIONS OF THE RESEARCH ADVISORY COMMITTEE REGARDING THE WORK PROGRESS OF DOCTORAL CANDIDATES at Sri BalajiVidyapeeth.

**RESEARCH ADVISORY COMMITTEE:** This committee is unique to each doctoral candidate who is pursuing doctoral research at Sri BalajiVidyapeeth. Its composition is Guide / Research supervisor (Convenor), two external experts and co-guide/s. The Head of the department will be the Ex-officio member. The Committee shall meet twice every year in June/July and December/January to determine the work progress of the doctoral candidates and make recommendations to the Dean – Research. Details are given in the document on SBV Minimum Standards for the award of degree of Doctor of Philosophy, based on UGC guidelines 2016.

#### **Please note the following:**

- 1. The minutes of the all RAC meeting should be accompanied by a covering letter by the convenor and all enclosures as and when required, for example Syllabus etc, should be enclosed with the report.*
- 2. The report of the RAC meeting should be signed by all the members present during the meeting. **Digital signatures are NOT acceptable.** External Subject Experts and External coguides must send their acceptance of RAC Minutes by email.*
- 3. The report should be sent to the Dean-Research who will forward it to the Registrar.*
- 4. The Registrar in turn would intimate the Convenor/ Research Supervisor, the recommendations of the Dean-Research, based on the RAC Report.*
- 5. The feasibility of the study must be discussed along with the scholar, co-guide and head of the department before RAC meeting is called. The guide may consult the RAC members on this issue before RAC meeting.*
- 6. Physical presence of Ph.D. Scholars (Part time External-Indian & Overseas) in SBVcampus /SSSMCRI during RAC meetings is mandatory. Special permission for exemption from physical presence has to be obtained from Dean Research in advance and will be considered on the strength of merit and on a case-to-case basis and NOT for all RAC Meetings.*
- 7. The guides shall inform the Research coordinators regarding RAC meetings.*

**A. TEMPLATE FOR SUBMISSION OF “MINUTES OF THE FIRST RESEARCH  
ADVISORY COMMITTEE MEETING”**

**DEPARTMENT (NAME)**

**Sri BalajiVidyapeeth**

**Minutes of the 1<sup>st</sup> Research Advisory Committee meeting held on DATE**

The 1st Research Advisory Committee for Mr./Ms. NAME (UIN:NUMBER), PhD scholar (Full time/Part time), at DEPARTMENT, consisting of PhD guide and coordinator, Dr. NAME, Co-guide Dr. NAME (Dept. of NAME) and Doctoral committee members Dr. NAME (NAME University/institute/hospital), and Dr.NAME (NAME University/institute/hospital) and Dr. NAME (HOD, DEPARTMENT concerned) met on DATE at TIME am/pm at VENUE, MGMCRI Campus, Puducherry-607402. The candidate presented her/his proposed doctoral work methodology and the proposed syllabus for paper II was discussed. The committee made the following remarks:

1. The committee has discussed and approved/proposed following changes to be incorporated in research **THESIS TITLE**:

Based on the presentation, the committee approves/approves with modification continuation of the proposed research work.

Dr. NAME  
(RAC member)

Dr. NAME  
(RAC member)

Dr. NAME  
(HOD-Dept.)

Dr.NAME  
(PhD co-guide)

Dr. NAME  
(PhD guide)

**B. TEMPLATE FOR SUBMISSION OF “MINUTES OF THE SUBSEQUENT RESEARCH  
ADVISORY COMMITTEE MEETINGS”**

**DEPARTMENT (NAME)**

**Sri BalajiVidyapeeth**

**Minutes of Research Advisory Committee meeting held on DATE**

**Title of Ph.D. Thesis**

The nth Research Advisory Committee for Mr./Ms. NAME (UIN:NUMBER), PhD scholar (Full time/Part time), at DEPARTMENT, consisting of PhD guide and coordinator, Dr. NAME, Co-guide Dr. NAME (Dept. of NAME) and Doctoral committee members Dr. NAME (NAME University/institute/hospital), and Dr.NAME (NAME University/institute/hospital) and Dr. NAME (HOD, DEPARTMENT concerned) met on DATE at TIME am/pm at VENUE, MGMCRI Campus, Puducherry-607402. The candidate presented her/his doctoral work progress and the committee made the following remarks:

1. The committee expresses satisfaction/dissatisfaction on the suggestions given in previous RAC meeting being included/not included (To be presented as Table)

2. A brief summary of the work presented (not exceeding 250 words) must be enclosed.

2. Based on the research data presented, the RAC has made the following remarks

a)

b)

2. Based on the progress of the research work, the committee approves/suggests modifications for the continuation of research work

Dr. NAME  
(RAC member)

Dr. NAME  
(RAC member)

Dr. NAME  
(HOD-Dept.)

Dr.NAME  
(PhD Guide)

Dr. NAME  
(PhD Guide)

Enclosures: Ethics clearance/waiver from IHEC/IAEC/any relevant committee must be submitted within 12 months of provisional registration.

**C. TEMPLATE FOR SUBMISSION OF “MINUTES OF THE FINAL RESEARCH  
ADVISORY COMMITTEE MEETING”**

**DEPARTMENT (NAME)**

**Sri BalajiVidyapeeth**

**Minutes of Research Advisory Committee meeting held on DATE**

**Title of Ph.D. Thesis**

The final Research Advisory Committee for Mr./Ms. NAME (UIN:NUMBER), PhD scholar (Full time/Part time), at DEPARTMENT, consisting of PhD guide and coordinator, Dr. NAME, Co-guide Dr. NAME (Dept. of NAME) and Doctoral committee members Dr. NAME (NAME University/institute/hospital), and Dr.NAME (NAME University/institute/hospital) and Dr. NAME (HOD, DEPARTMENT concerned) met on DATE at TIME am/pm at VENUE, MGMCRI Campus, Puducherry-607402. The candidate presented her/his doctoral work progress and the committee made the following remarks:

1. Based on the research data presented, the RAC made following remarks

- a)
- b)
- c)

2. Based on the progress of the research work and accomplishment of all the study objectives this Final RAC recommends submission of PhD synopsis as per the guidelines of Sri BalajiVidyapeeth.

Dr. NAME  
(RAC member)

Dr. NAME  
(RAC member)

Dr. NAME  
(HOD-Dept.)

Dr.NAME  
(PhD Guide)

Dr. NAME  
(PhD Guide)

Enclosures: If any

**NOTE:** For the Final RAC, all faculty from the Department, related disciplines and Ph.D. scholars must be invited.

## **ANNEXURE II**

### **Revised Guidelines for the preparation and submission of doctoral (Ph.D.) Thesis**

**I. PREAMBLE:** This document henceforth would be made known as the Revised Guidelines for preparation and submission of Synopsis and Thesis by Ph.D. and M.Phil. Candidate of Sri Balaji Vidyapeeth. These guidelines highlight various statutory requirements related to formatting and actual presentation for appropriate submission of the synopsis & thesis leading to M.Phil and Ph.D. degrees. The guidelines carry inputs related to the basic structure, layout, style and decorum specifically meant for the purpose. These guidelines, following approval would be implemented uniformly across all the constituent colleges and centres of Sri Balaji Vidyapeeth.

### **II. SYNOPSIS: Layout for doctoral (Ph.D.)**

#### **A. Cover Page Format: Grey colour**

**B.** The synopsis should be a brief summary of the work done for the thesis. The synopsis must be restricted to 20-30 pages including figures, tables and images. Not more than 20 references should be included in synopsis. The candidate shall also submit the electronic version (read only format) of the synopsis. The synopsis should be structured under the following headings:

1. Abstract
2. Introduction
3. Aim and objectives
4. Hypothesis/Research questions
5. Brief review of literature
6. Methodology
7. Results and discussion
8. Summary and conclusion
9. References

### III: THESIS Layout for Ph.D.

The following is the order of writing the Ph.D. thesis

#### 1. Cover Page Format: Grey Coloured For Ph.D.

**TITLE**

Thesis

*Submitted for the award of*

*Degree of*

**DOCTOR OF PHILOSOPHY**

Under the Faculty of

(Medicine, Dentistry, Nursing, Pharmacy, Biomedical Sciences, Physiotherapy, Yoga Therapy,  
Health Professions Education and Multidisciplinary Research)

Submitted to

LOGO OF SBV

**SRI BALAJI VIDYAPEETH** (Deemed to be University u/s 3of UGC Act 1956)

By

Name of the candidate with initials (with highest degree)

UIN in parentheses

Under the guidance of

Name of the Guide, Designation

Departmental affiliation

College/Institute/Centre

Month and year of submission

2. Declaration by the candidate
3. Bonafide Certificate issued by the Guide, co-guide(s) and counter signed by the HOD/Dean/Principal/Director and duly endorsed by Dean (Research)
4. Approval by the Ethics committee, duly signed by Secretary IEC
5. Proof of having successfully completed the Course Work.
6. Plagiarism policy compliance statement prepared by the Senior Statistician and Research Consultant, duly endorsed by Dean (Research)
7. **Copyright page** that would bestow upon Sri Balaji Vidyapeeth the right to use and reproduce. (Template attached- **Annexure-1**)  
either completely or in portions of the M.Phil. or the doctoral work being presented with due credit of authorship to the scholar, guide and co-guide.
8. Acknowledgments page
9. List of frequently cited abbreviations must be spelt out. In the text, when an abbreviation is cited for the first time, care must be taken to write in full and indicate the abbreviation within brackets.
10. Table of Contents: This should include all the minor (sub) sections of each chapter and the list of appendices with appropriate page numbers. The appendices would include the master charts and publications in full including the manuscripts communicated to the journals and List of Conference presentations (from PhD thesis). In case, part or parts of the thesis have been filed as patents, complete specifications need to be provided on the patent filed/published/granted and also the patent database(s) must be specified. Also, confidentiality must be maintained when including patient data in tables.
11. List of Figures and scheme (redrawn /republished with permission): This should include the number of schemes and figures in running Arabic numbers starting from Introduction and denote the same with the appropriate page number. The legend for the schemes and figures should be indicated below the respective image/scheme.

12. List of Tables: This should include continuous Arabic number starting from introduction and denote the correct page number. The heading (caption) must be given above each Table. In the legend, abbreviations, if used must be expanded.

#### **IV. Contents of Ph.D. Thesis:**

The following represents an acceptable format for a thesis. Minor variations in the layout may be permitted at the discretion of the Research Guide/ Supervisor depending on the type and scope of the project. The thesis should be restricted to 200-250 pages, including references (minimum 150-maximum 250). Thesis chapters inherently would include :-

1. **Abstract:** The abstract should be typed in single space and must be devoid of in text citations. Abstract should be structured under the following headings:  
Background, Objectives, Methods, Results, Conclusion.(Max: 250 words)
2. Introduction
3. Aim and objectives
4. Hypothesis/research question
5. Review of Literature (Highlight here what is the lacunae which will be answered)
6. Study design/methods/ Inclusion and exclusion criteria (if the study involves human subjects)
7. Statistical analysis
8. Results
9. Discussion
10. Limitations of the study
11. Summary
12. Conclusion
13. Recommendation (for future research)
14. References: References should take into due consideration any related work done by someone other than the candidate. However, the candidate may include his/her relevant research work in the references if it was published at an earlier date. References should



comply with Vancouver format. In-text citations should be represented within parenthesis in continuous Arabic numbers.

15. Appendices should have details of published articles, communicated manuscripts, proofs of scientific presentations, awards and recognition and patents and copyright.

### **Publications:**

- a). Published articles: Full reprints of the published articles should be attached at the end of the thesis and should not be numbered.
  
- b). Communicated/Accepted articles: Communicated/Accepted manuscripts should be mentioned along with the name of the journal and reference number.
  
- c). Proof of scientific presentation (Podium and Poster): Proof of scientific presentations at State level, Regional, National and International conferences, symposium, CMEs should be included. Maximum of two presentation under podium / poster category should be included.
  
- d). Awards and recognitions: Awards and recognitions based on the PhD and MPhil work should be included.
  
- e). Patents and copyrights: Patents and copyrights generated from the thesis work should be included along with the full details.

The appendices may also contain information that would enable clarification on the thesis.

### **V. Style and Form**

- (i) *Paper*: Use of premier quality acid-free A4-size paper is recommended. Only one side of the paper needs to be filled up . Thesis should be written in Times New Roman in fonts specified for each section.
- (ii) *Instructions for Printing*: Laser printer meant for high quality DTP should be invariably used for the final copy.

- (iii) *Headings*: In such of those disciplines where section numbering is used, these guidelines apply
- (iv) *Chapter title*: Times New Roman font size 18 should be in bold
- (v) *Main Section Headings*: can be essentially numbered as chapter-number *Section-number* to be provided in Times New Roman font size 14 in bold.
- (vi) *Second Headings*: can be numbered for instance 3.2.4 for Chapter 3, section 2, and subsection 4 in Times New Roman font size 12 in bold.
- (vii) *First Subheadings*: can be numbered for instance 3.2.4.1 for chapter 3, section 2, subsection 4, and sub-subsection 1) in Times New Roman font size 12, regular
- (viii) *Text Font*: Times New Roman font size 12 unless specified.

Please ensure that Bold and italics should not be used frequently in the text. Do not use colour for the text. **COLORS CAN BE USED ONLY IN FIGURES AND SCHEMES**

- (ix) *Spacing*: Double spacing is required for the text; whereas footnotes, quotations and entries for References should be enabled in single space Table captions may be single spaced.
- (x) *Margins*: Left: 5 cm; top, bottom, and right: 2.5 cm Text should be left aligned. This is mandatory in order to allow appropriate space for binding and trimming.
- (xi) *Page Numbering*: This is one of the most vital facets of thesis. Pages proceeding to the thesis text should be numbered in Roman numerals. The front page of the thesis must not have a page number. Pages of the text and of all items following the text should be numbered consecutively throughout in Arabic numerals, beginning with number on the first page of the first chapter. Page numbers alone and no text such as “page number” should be placed in the lower right corner or centre of the page.
- (xii) *Tables and Figures*: Figures and tables should be inserted at the appropriate places in the text. As mentioned above, Figures must have numbers and captions below the figure while Tables should have their titles and numbers above the table.
- (xiii) *Drawings*: Any material which cannot be typed or computer generated should be drawn with permanent black ink in neat and heavy lines. Photographs of drawings are acceptable. Photostat reproductions of drawings are acceptable if they are of high contrast.

- (xiv) **Photographs:** Mount small photographs with glue. High-clarity Photostat copies of photographs are also acceptable; high quality scanned e-images can also be inserted into the thesis text.

Scholars and guides must be aware of the copyright and ethics policy about reproducing already published figures/images, and must obtain prior permission as and where required.

- (xv) **Footnotes:** Footnotes should appear at the bottom of the same page as their reference. It should be numbered in Arabic numerals. The reference is superscripted and the explanation at the bottom of the page begins with the footnote reference number. It should have a smaller font size than the text (Times New Roman font size 10).
- (xvi) **CDs and DVDs:** CDs and DVDs should be identifiable with the title, name of scholar, and UIN number along with the date of submission.
- (xvii) **Oversized Material:** Oversize foldout pages may be included, though ample margins for binding must be included. All pages must appropriately be numbered if found in the text.

## **SRI BALAJI VIDYAPEETH(SBV)**

### **REGULATIONS ON SPLIT Ph.D. PROGRAMME**

**Definition:** The split Ph.D. programme at Sri Balaji Vidyapeeth confers opportunities to Ph.D. Scholars for carrying out a portion of their doctoral work in a recognized Indian Higher Education Institution or Foreign University or R&D organisation or an Industry with which SBV has entered into an MoU.

**Eligibility:** Only Full time Ph.D. students are eligible.

#### **Objectives of the Split Ph.D. Programme:**

- (i) To initiate and provide quality research opportunities to research scholars and also to nurture eminent / future collaborative research endeavours.
- (ii) Would foster closer ties with the National / International Higher Education Institutions, besides industries and Research & Development organisations.

**Prerequisites for the Ph.D. Split Programme:** The partnering institution /organisation/business establishment/Industry should have signed an academic MoU with Sri Balaji Vidyapeeth (SBV).

**Procedure for admission into the Split Ph.D. programme:** Similar to the regular Ph.D. programme in terms of eligibility, admission formalities, duration of the Ph.D. programme and monitoring etc.

#### **Important Regulations for the Split Ph.D. programme:**

- The maximum period of research that is allowed with the partner institution/organisation shall however shall not exceed ONE YEAR. The place of registration will be only Sri Balaji Vidyapeeth. If in case, the Ph.D. scholar spends more than one year at the partnering institute, only one year of work done at the partnering institute would be taken into due consideration that is determined by the actual output of the work, as determined by the Research Advisory Committee.
- A Co-Guide at the partnering institute is essential. The Guide/Supervisor has the prerogative of suggesting the Co-Guide, based on his discretion or relevance of the research work under consideration. The appointment of Co-Guide as a member of the Research Advisory Committee should get the approval of the Dean-Research. The Co-guide shall be present at all the meetings of the Research Advisory committee and would testify the progress of Research work carried out by the Ph.D. scholar at the partnering institute.
- The progress report of work done by the Ph.D. scholar at the partnering institution should be duly signed by the Co-Guide, Head of the department and countersigned by the Head of the partnering institution/organisation.
- Financial commitments required and their implications of carrying out the research work at the partnering institution shall be the prerogative of the Ph.D. scholar concerned, since

Contingency grant also will be in place. Alternately, the financial commitments may be as per the terms of the reference indicated in the MoU.

The degree of Doctor of Philosophy would be awarded to the Research scholar, upon the successful completion, by Sri Balaji Vidyapeeth (SBV). The name of the Partnering institute shall be mentioned in the degree certificate. The faculty under which the Ph.D. degree would be awarded would be Medicine, Dentistry, Nursing, Pharmacy, Biomedical Sciences, Physiotherapy, Yoga Therapy, Health Professions Education and Multidisciplinary Research.

**ANNEXURE-1**

**Sri Balaji Vidyapeeth (Deemed to be University)**

**Copy right form for Ph.D Thesis**

Name of the student:

UIN:

Department:

Institution:

Degree: Ph.D

Title of the work: .....  
.....  
.....

I, Dr/Mr./Ms..... hereby grant the exclusive license to Sri Balaji Vidyapeeth (Deemed to be University) to preserve and release the entire or part of my Thesis to disseminate worldwide in print or electronic format for academic, Research and publication purpose with due credit of authorship to myself, Guide, Co-guide(s) and any other contributed for the study.

I retain the right to use the thesis in future works (such as articles or books) all or part of the thesis, dissertation, or project report either in printing or electronic format with due credit of authorship to the Guide, Co-guide(s) and include “Sri Balaji Vidyapeeth (Deemed to be University)” without fail.

Signature of the Student

Signature of the Guide (with seal)

Place :

Date :