

# MAHARASHTRA UNIVERSITY OF HEALTH SCIENCES, NASHIK

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**DIRECTION NO.:- 04/2015**

**PROCEDURE AND RULES GOVERNING AWARD OF Ph.D. DEGREE**

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**Whereas** Maharashtra University of Health Sciences Act, 1998 (Maharashtra Act No X of 1999) has been passed by the State Legislature to establish the Maharashtra University of Health Sciences for the purpose of ensuring proper and systematic instruction, teaching, training and research in Modern Medicine, Indian system of Medicine and Homoeopathy, and to have a balanced growth in the Health Sciences;

AND

**Whereas**, as per section 6 (3) of Maharashtra University of Health Sciences Act, 1998 all Colleges of Health Sciences previously affiliated to erstwhile non-agricultural Universities in the State of Maharashtra shall be deemed to be affiliated to Maharashtra University of Health Sciences, Nashik;

AND

**Whereas**, the Government of Maharashtra re-affiliated Post Graduate courses from previously affiliated erstwhile non-agricultural Universities to this University as per Ordinance No. IX /2005 dated 31/10/2005;

AND

**Whereas**, it is essential to prescribe rules to undertake quality research in each branch of health sciences including interdisciplinary studies leading to award of Ph.D. degree of this University;

AND

**Whereas**, it is also essential to regulate admission and registration of students for Ph.D. degree by the University;

AND

**Whereas**, the University Grant Commission has prescribed minimum standards & procedure for awards of Ph.D. Degrees by issuing, U.G.C. (minimum

standards & procedure for awards of M. Phil / Ph.D. Degree) regulations – 2009 published in the Gazette of India, dated July 11<sup>th</sup>, 2009.

AND

**Whereas**, Some Central Councils of Health Sciences prescribed norms for Ph.D. Course;

AND

**Whereas**, to prescribe the procedure regarding Ph.D. Degree is a subject matter of Ordinance, however at present there is no Ordinance regarding award of Ph.D. degree in force;

AND

**Whereas**, making of Ordinance is a time taking process;

AND

Now, therefore, **I Professor Dr. Arun V. Jamkar, Vice-Chancellor** of Maharashtra University of Health Sciences, in exercise of powers conferred upon me under sub-section **8 of section 16** of Maharashtra University of Health Sciences Act, 1998 issue the following direction :-

**1) Short title and commencement:-**

- i) This Direction shall be called "**Procedure and rules governing award of Ph.D. degree** "
- ii) This Direction shall come into force with effect from the date of its promulgation.
- iii) The previous Direction No. 08/2012 (Amended in 2013) is hereby repealed.

Notwithstanding such repeal, anything done or any action taken under or in pursuance of the provisions of the said Direction, shall continue to have effect and deemed to be done or taken under the relevant corresponding provisions of the instant Direction.

**2) Definition:-**

- i) The definitions given in the "Maharashtra University of Health Sciences Act 1998" shall be applicable to this Direction.

*ii) Interdisciplinary Research:*

Research conducted between two or more disciplines out of which at least one discipline shall be of Health Sciences.

*iii) Guide :*

Guide means the Recognized research Guide of this University or the erstwhile University to supervise the research of the Ph.D. Scholar.

*iv) Self Guide:*

The self Guide is the research scholar who possesses the eligibility criteria defined under this direction and allowed to pursue his research under self guidance.

*v) Co-guide:*

Co-guide shall be an expert in an area related to the topic of the student. Co-guide is similar to that of Guide except that he could be either from same speciality or from different speciality, from the same institution or different institution but having area of expertise related to the Topic of the Ph.D. Scholar.

*vi) Full Time Ph.D. Scholar:* The Research Scholar who on deputation from another College/Institution and/or is being supported with/without a Fellowship/Scholarship, pursues his research work only, leading to Ph.D. degree as a Full Time Research Scholar without performing any other job or assignment.

*vii) Part Time Ph.D. Scholar:* The Research Scholar who is already in Service as a faculty member/employee/scientist in the same or in a different Institution and pursues his research work leading to Ph.D. degree as a Part Time Research Scholar in a Ph.D. Study Centre recognized by the University in addition to performing his other duties as teacher / scientist / administrator etc., assigned to him.

**3) Objectives:-**

i) The University shall offer the Degree of Doctor of Philosophy (Ph.D.), on regular basis, in the subject of Health Science in the faculties of Medicine,

Dentistry, Ayurved and Unani, Homoeopathy and Allied Health Sciences, Interdisciplinary Studies. The subjects shall be specified by the University on the official website from time to time. ([Annexure – I](#))

- ii) The University is committed to promote Research in all Pathies under Health Sciences such as Medical, Dental, Ayurved and Unani, Homoeopathy and Allied Health Sciences in the Colleges / Institutions affiliated to the University. Research in Interdisciplinary studies is the need of the hour. Interdisciplinary studies for Ph.D. Degrees shall have to be promoted. People in India give patronage to different pathies. There is a need to provide a platform for these pathies to prove their strengths and challenges to achieve the current needs of the society

#### **4) Nomenclature of the Degree:-**

After fulfilling all the requirements the degree shall be awarded namely “Doctor of Philosophy” (Ph.D.) in the concerned discipline / subject. The degree certificate shall include the subject of speciality and name of the Faculty. The scholar shall be eligible to get the Ph.D. Degree in the concerned faculty only except in case of Interdisciplinary studies.

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

- i) *There shall be a Board of Research, for each faculty of Health Sciences consisting of following members:-*
  - a) The Vice-Chancellor (Chairman)
  - b) Pro Vice-Chancellor (Member / Chairman in the absence of the Vice-Chancellor)
  - c) Dean of the concerned Faculty (Member) / Chairman in the absence of Vice-Chancellor and Pro Vice-Chancellor
  - d) Chairperson of Board of Studies of concerned Post Graduate Subject / Group of subjects (Member)
  - e) One Ph.D. Guide from concerned faculty from affiliated College/ institution, nominated by the Vice-Chancellor (Member)
  - f) Two Eminent Research Persons or Experts from National Research Institutes within concerned faculty, who have published minimum 10

Research Papers in the National / International Journal(s) to be nominated by the Vice-Chancellor (Members)

- g) Two experts in the field of Medical Industry related to the concerned faculty (Members)
- h) One eminent Statistician nominated by the Vice Chancellor (Member)
- i) The Registrar (Member Secretary)

**ii) Tenure and Meetings of Board of Research**

- a) Tenure of the Board of Research shall be Three years from the date of its first meeting and shall be reconstituted after the tenure is completed
- b) Meetings of Board of Research shall be held at least twice in a year.

**6) Duties of Board of Research:**

- i) The Board of Research shall perform the following duties:-
  - a) To recognize the Ph.D. guide.
  - b) To formulate Rules to recognize the Departments/Institutions for Research work leading to Ph.D. Degree.
  - c) To maintain the standards and quality of Research for Ph.D. Course and to review from time to time.
  - d) To prepare the list of teachers of Internal and External Examiners and/or Referees for onward submission to 31 (5) (a) committee.
  - e) To decide about priority of areas of research by incorporating the vision of country and to publish list of areas of priority research.
  - f) To perform any other duty, as assigned by Statute/Ordinance/Direction Rules and Regulations from time to time.
  - g) To prepare guidelines for checking the Plagiarism in the Research work.

**7) Research Guide:**

*i) Eligibility criteria of Research Guide recognized by erstwhile Universities in Health Sciences:*

The Ph.D. Guide recognized by the erstwhile Universities in Health Sciences shall be deemed to be recognized as Guide by this University.

Provided that, such Guide shall complete 07 days training of Research Methodology Workshop from the Centre recognized by the University or from the IMETTT Department, Pune Regional Centre of the University or any other place recognized by the University for the same. However, this 07 days training shall be exempted to such Research Guides who have published 05 Research Papers in the National / International Journal(s) having impact factor of 0.5 or more certified by the concerned teacher.

*ii) Eligibility criteria of Ph.D Guide for all faculties under Health Sciences:*

*a) Teachers with Post Graduate Qualification:*

Any teacher who shall have minimum 15 years approved teaching experience as Assistant Professor and above after obtaining Post Graduate degree, out of which minimum 10 years as a Post Graduate recognized teacher in the concerned subject or allied subject (if applicable) and also should have published at least 05 Research Papers in the National / International Journal(s) having impact factor of 0.5 or more certified by the concerned teacher.

*b) Teachers with Post Graduate and Ph.D. Qualification:*

Any teacher possessing Ph.D. Degree and who shall have minimum 10 years approved teaching experience as Assistant Professor and above after obtaining Post Graduate degree and should have published at least 05 Research Papers in the National / International Journal(s) having impact factor of 0.5 or more certified by the concerned teacher.

*c) Any expert or scientist working in the recognized Research Institute / Health Science Industry & having Ph.D. qualification in the concerned speciality and 10 years research experience and should have published at least 05 Research Papers in the National / International Journal(s) having impact factor of 0.5 or more certified by the concerned expert or scientist.*

*iii) Eligibility criteria for Co-Guide:*

*a) Any recognized Guide of this University, or any other University or any expert in the concerned field as approved by the University shall be the Co-Guide.*

iv) *Self Guide:*

- a) Twenty years approved teaching experience as Assistant Professor and above, out of which 15 years as a Post Graduate recognized teacher of the University.
- b) Minimum 10 Research Publications in National / International journals

v) *Application and other Condition :*

- a) Notwithstanding anything done earlier, the recognized Ph.D. Guides in Health Sciences shall require to submit certificate of 07 days training of Research Methodology Workshop along with prescribed application form. However, this 07 days training shall be exempted to such Research Guides who have published 05 Research Papers in the National / International Journal(s) having impact factor of 0.5 or more certified by the concerned teacher / expert /scientist.
- b) All the eligible teachers intending to become a Ph.D Guide in Health Sciences should apply in the prescribed format ([Annexure-II](#)) along with required documents through the Dean / Principal / Director of affiliated College/recognized Institute.
- c) The approved/recognized Ph.D. Guide of the University shall be eligible to guide Ph.D scholars till he attains the age of 70 years or as prescribed by the University / respective Councils from time to time. However, three years prior to the maximum age limit of the Ph.D Guide, fresh registrations of Ph.D. Scholar shall not be permitted.
- d) It shall be the duty / responsibility of the Ph.D. Guide and College / Recognized Institute to inform the University, once the guide ceases to be the guide after attaining maximum age limit. It shall also be the duty of the College/Institute to inform regarding the transfer, resignation or absence from the working due to any other reason. Accordingly the list of recognized Ph.D. Guides be updated from time to time.
- e) All Guides shall normally be the residents within the jurisdiction of the University

- f) A Guide can supervise maximum 08 candidates at any given time but cannot register more than three candidates in one Academic Year. Whenever the number of candidates registered under a Guide has reached the maximum number, a Guide shall become eligible to supervise another Ph.D. candidate only after the submission of Thesis by any one of the Ph.D. candidates already registered under him.
- g) A Ph.D. Guide who has passed Post Graduation in one specialty and further completed Super Specialty Degree is eligible to be considered as Ph.D. Guide in his concerned specialty of Post Graduation as well as the subject of specialization during his Super Speciality. However he can guide not more than total 06 students, including both specialities explained above. For subjects in other faculties, like Dentistry, Ayurved and Unani, Homoeopathy, Allied and Interdisciplinary Studies the concerned Guide has to give option for Allied Subjects as per Council Regulation or Rules prescribed by the University from time to time.
- h) The application can be submitted for the recognition of Ph.D. Guide and Co-Guide throughout the year.
- i) After getting Recognition as Ph.D. Guide, the candidates shall be allotted from the waiting list (if any).
- j) The Co-guide can be approved by the Vice Chancellor after the request of the student justifying the need of Co-guide and the consent of his Guide along with a short note from the Guide about the necessity of Co-guide for the Ph.D. The application form of Co-guide to be submitted as per ([Annexure – III](#)) and forwarded through the Dean / Principal / Director of the College / Institute.

**8) Change of Guide / Research Topic / Research Centre:**

- i) Once the Ph.D. Scholar is registered for Ph.D. course, the change of Research Guide shall not normally be permitted.
- ii) In exceptional case(s) change of guide may be allowed with the No Objection Certificate (NOC) of the earlier Guide and consent of the new Guide. Both the No Objection Certificate (NOC) ([Annexure-IV](#)) and the consent



**(Annexure-V)** letter shall be endorsed by the respective Dean / Principal / Director of the College / Institute. The same shall be subject to final approval by the Vice Chancellor

iii) *The circumstances for change of guide:*

a) If the Guide is unable / not available to guide the student, for a period of more than one year, for any reason.

b) Conflict between Guide and student due to any reason. In such circumstances the No Objection Certificate (NOC) of earlier guide may not be required if considered by Dispute Redressal Committee of the University.

iv) Ph.D. Scholar shall be required to complete research under supervision of his Guide, however, a candidate may be permitted by the Board of Research to transfer his registration from one Research Guide to another, provided the first Guide gives "No Objection Certificate" for such transfer and the Research Guide under whom the transfer is sought gives his / her consent to accept the candidate. Provided further that, in case of such transfer, if there is major change in the Research Topic of the candidate, then in such case the candidate shall have to work under new Guide for the minimum period of two years before he/she is allowed to submit the Thesis.

v) Whenever the Research Guide of the candidate leaves service of the College/Institute or retires from the service but continues to be recognized as a Research Guide, the Ph.D. Scholar already admitted under such Guide may be allowed to continue to work under him. However such guide shall give in writing his willingness to continue the said Ph.D. Scholar. The Board of research shall, after ascertaining the choice of the Ph.D. Scholar either to continue to work under the supervision of the same Research Guide (provided he has kept two terms under his supervision) or to work under another Research Guide, make appropriate recommendation to the Vice-Chancellor.

**9) Cancellation of Guideship :** *Recognition granted by the University to the Ph.D. Guide of the affiliated College / Recognized Institute shall be automatically ceased, for the following reasons;*

- i) If he is ceased to be Ph.D. Guide of the concerned Affiliated College / Recognized Institute for any reason such as superannuation, resignation, transfer, termination, dismissal etc.
- ii) If at any stage it is found that the information / documents submitted by the recognized Guide, submitted for recognition is / are forged / false / fabricated.
- iii) If any Ph.D. Guide of the Affiliated College / Recognized Institute creates obstacle in the smooth functioning of the University or any authority or committee of the University.

#### **10) Grant of Recognition as Ph.D. Research Centre:**

- i) The desirous College / Institute shall apply to the University for recognition as Ph.D. Research Centre in the prescribed format ([Annexure-VI](#)) along with the prescribed one time recognition fees shall be as prescribed by the University from time to time.
- ii) On receipt of proposal along with the prescribed fees, the University shall inspect the institution by appointing Local Inquiry Committee and shall place the report of the committee before the Academic Council for its consideration. The decision of the Academic Council shall be final and same shall be communicated by the University to the concerned College / Institute.
- iii) The process of grant of affiliation and continuation of affiliation prescribed by the University shall be *mutatis-mutandis* applicable for Institute Recognition as Ph.D. Research Centre.
- iv) No Institute shall be recognized as a Place of Work of Research unless at least one Approved / Recognized Guide is available at that particular place of work. However, those College(s)/Institute(s) already recognized for respective subject may be accorded renewal, if they fulfil all other conditions as verified by Local Inquiry Committee, even if, there is no Recognized Guide at the time of renewal, subject to the condition that the Ph.D. students shall be allotted to such College(s) / Institute(s) only after Recognized Guide is made available.

- v) The Affiliated College(s) / Recognised Institute(s) having Post Graduate courses shall fulfill all the norms of “Minimum Standards” regarding infrastructure and other facilities, as prescribed by the Respective Central Council for Post Graduate Courses, for its Recognition as a Place of Research for Ph.D.
- vi) Research Centre recognised by the University or Conventional University or Other Central or State University shall be considered as valid place of Research for Interdisciplinary Research in the field of Health Sciences.
- vii) The Human and Animal Ethics Committee duly registered under the appropriate authority is mandatory for all Institutes which have been recognized as Ph.D. Research Centre.
- viii) The Affiliated Colleges/Institutes Recognised by the erstwhile non-agricultural Universities as Ph.D. Research Centres in the Faculty of Medicine, Dental, Ayurved and Unani, Homoeopathy, and Allied Health Science, shall be deemed to be recognized by this University as Ph.D. Research Centres for such specific period, up-to the award of Ph.D. Degree to the last student(s) admitted for Ph.D. Degree by the erstwhile non-agricultural University. However, it is necessary for the said College(s) / Recognized Institute(s) to submit proposal for continuation of recognition as Ph.D. Centre to this University along with prescribed fees. After award of Ph.D. Degree to the last student admitted in such College/Institute by the erstwhile non-agricultural University, if such Institute desires to continue to be the recognized Institute of this University, in such event, the College/Institute shall have to apply afresh for recognition as Ph.D. Research Centre in the prescribed format. After following due procedure, the Academic Council may approve the said College/ Recognized Institute as a recognized Ph.D. Research Centre of this University. The decision of the Academic Council shall be communicated to such College/Institute in writing by the University.
- ix) The Health Sciences related Industries / Research Institutes / Laboratories may apply for recognition as Ph.D. Research Centre. Provided that, it should have sufficient infrastructure and advance technical facilities in the concerned area/ subject of research.

**11) Continuation of Recognition of Ph.D. Research Centre:-**

The University by appointing Local Inquiry Committee may carry out periodical inspection after every five years for continuation of recognition of Ph.D. Research Centre. However, every year before 31<sup>st</sup> October the institute shall be required to submit proposal in the prescribed format along with fees for continuation of the Ph.D. Research Centre. On receipt of the Proposal, the University may appoint Committee to inspect the infrastructural and research facilities available. The report received from Local Inquiry Committee (if appointed) shall be placed before the Academic Council. The decision of the Academic Council regarding continuation of recognition as Ph.D. Research Centre shall be final. The University also reserves right to inspect such Institute every year or as and when it deems fit.

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

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

- i) a) He shall have Post Graduate Qualification in the concerned subject of Health Sciences or in the prescribed allied subject.
  - b) The Ph.D. Scholar (s) having Post Graduate Diploma in schedule II of the respective Central Councils and / D.N.B. qualification shall also be considered eligible only, if such candidate has published minimum two Research Papers in National / International Journal(s).
- ii) In case the Ph.D. Scholar possesses Post Graduate degree from foreign University, he shall have to submit equivalence of Indian Post Graduate degree from competent authority.

**13) Admission Procedure:**

The admission of the candidates for Ph.D. Degree shall be on the basis of Merit of entrance test conducted by the University (Ph.D. Entrance Test – PET) and at College level Counselling. The In-service candidates applying for full-time /

part-time Ph.D. programs shall have to submit “No Objection Certificate” from their employer in the prescribed format ([Annexure VII](#) and [Annexure VIII](#)).

#### **14) Duration of the Ph.D. Course:**

- i) The date of the joining of the candidate at any College / Recognised Institute after successful Counselling shall be treated as Provisional date of Registration. However, the actual term of selected Ph.D. scholar shall be deemed to start from the date of approval letter of the Synopsis of his Thesis.
- ii) The Full- time and Part-time Ph.D. scholars shall be allowed to submit Thesis after completion of 02 years and 03 years respectively from the date of Synopsis approval by the University.
- iii) The Post Graduate Degree and Post Graduate Diploma / DNB holder Ph.D. Scholars shall be allowed to submit their Thesis after completion of 02 years and 03 years respectively from the date of Synopsis approval by the University.
- iv) The M.Sc. Degree holder Ph.D. Scholar shall be allowed to submit their Thesis after 03 years from the date of approval letter of the Synopsis by the University.
- v) It is mandatory to submit six monthly progress report duly signed by the respective Guide to the University by all Ph.D. Scholars from time to time. ([Annexure IX](#))
- vi) The maximum duration for submission of Thesis for all Ph.D. Scholars shall be six years from the date of approval letter of the Synopsis by the University. However, it can be further extended for maximum period of two years, one year at a time, after submission of valid justification and by paying prescribed fees decided by the University, from time to time. After extended period no further extension shall be granted at any circumstances and if the Ph.D. Scholar wishes to pursue the Ph.D. course, he shall have to register again as a fresh candidate following due procedure including Ph.D. Entrance Test.
- vii) A Ph.D. Research Scholar admitted as ‘Full time’ can be converted into ‘Part time’ in special circumstances after approval of the University.

### 15) Entrance Test (PET) and Enrolment for Ph.D. course:

- i) The University may publish a Notification by considering vacancy position submitted by the concerned Recognised Ph.D. Centres under all faculties of Health Sciences along with the details of subjectwise vacancy position, reservation and list of Ph.D. Guides etc.
- ii) The Entrance Examination (PET) will be conducted at the Headquarter of the University or at such place (s) decided by the University from time to time.
- iii) The University shall organize a written Ph.D. Entrance Test (PET) for the purpose of admission to Ph.D. Programme for all the Full time as well as Part time Ph.D candidates.
- iv) The Entrance Test will consist of 2 Papers:

Paper I (100 marks)	:	General Aptitude & Research Methodology ( 50 MCQ each of 2 marks)
Paper II (100 marks)	:	Subject Knowledge Test (50 MCQ each of 2 marks) (based on Post Graduate Specialization in Health Science)

- v) The Syllabus of the Ph.D. Entrance Test shall be published along with the notification of Ph.D. Entrance Test (PET).
- vi) The University will publish the common merit list of Ph.D. Entrance Test on its official website. i.e. [www.muhs.ac.in](http://www.muhs.ac.in)

### 16) Admission Process:-

- i) The University shall publish the 1<sup>st</sup> admission schedule after publication of PET merit list for Ph.D. admissions on its official website. It will contain period for filling up Admission Forms, Date of displaying of Merit list at Institute (Ph.D. Research Centre) level, Period of Counselling, Period of Admissions etc. along with general guidelines.
- ii) The candidate shall submit his application form for admission counselling to the Ph.D. Research Centre of his choice within prescribed period.

- iii) It shall be the responsibility of the concerned Ph.D. Research Centre to prepare the roster of vacant seats as per constitutional reservation rules and published it on the notice board, under intimation to the University.
- iv) The Research Centre shall prepare and publish the facultywise, subjectwise and categorywise merit list of the candidates who have applied for admission counselling. The Research Centre shall submit one copy of merit list to the University by e-mail immediately.
- v) The Research Centre shall organise the programme of Counselling within the prescribed time limit published by the University.
- vi) The Institute (Ph.D. Research Centre) shall constitute Counselling Committee for admission which will consist of following:
  - a) The Dean / Head of the Institute or his nominee (Chairperson)
  - b) Head of the Concerned Subject / Department (Member)
  - c) Two approved Ph.D. Guide in concerned subject (if available) (Member)
  - d) Teacher / Scientist from reserved category of concerned Institute as reservation nominee (Member)
- vii) The Research Centre shall communicate list of selected student(s) within 3 working days to the University.
- viii) The selected candidates shall report to the Research Centre / Institute and confirm his admission within 15 days from the date of selection.
- ix) After completion of first round of admission the Institute (Ph.D. Research Centre) shall communicate the vacancy position to the University within 03 working days.
- x) The concerned Ph.D. Research Centre shall fillup the vacancies at their level by publishing the vacancies at widely, under intimation to the University by following due appropriate procedure.

**17) Provisional Registration:** - After successful counseling, the date of the admission / joining of the candidate at any Research Centre / College / Recognized Institute shall be treated as Provisional date of Registration.

However, the actual term of candidate shall be deemed to start from the date of approval to the Synopsis.

#### **18) Technical Committee:**

- i) The Technical Committee shall be constituted at the Ph.D. Research Centre as follows:
  - a) The Dean / Director / Principal or his nominee of the Ph.D. Research Centre:- Chairman.
  - b) Two experts in Research Methodology who have keen interest encouraging research at institute level nominated by the Dean / Director / Principal of the Ph.D. Research Centre :- Members
  - c) All Ph.D. recognized guides in the concerned Ph.D. Research Centre :- Members
  - d) Two experts from Health Science related industries / Research Institutes / Laboratories nominated by the Dean / Director / Principal of the Ph.D. Research Centre :- Members
- ii) The committee shall primarily advise to the provisionally registered Ph.D. scholar on the topic of Thesis in consultation with guide of the concerned Ph.D. scholar. The committee shall discuss whether the topic is appropriate / valid for the purpose of Ph.D. research work. The committee may give suggestions to the Ph.D. scholar on the topic selected by him.
- iii) The committee shall study and approve the six monthly reports submitted by the Ph.D. research scholar before submission to the University for final approval.

#### **19) Final Registration Process:-**

- i) Within **90 days** from the date of Provisional registration the admitted Ph.D. Scholar shall submit 10 copies of his Research proposal (Synopsis) signed by the Research Guide through Head of the Department and Head of the Institution in prescribed format along with one soft copy in PDF format



([Annexure X](#)) and Demand Draft of prescribed fees to the University. The Research proposal (Synopsis) shall be submitted only after obtaining approval / recommendation of the Institutional Ethics Committee of the College / Institute. A copy of approval / recommendation certificate shall be submitted along with the Research proposal.

- ii) The Synopsis / Research proposal Received shall be forwarded to the Expert in the concerned speciality/subject by the University for his recommendation(s) / comment(s) / suggestion(s) (if any) through e-mail.
- iii) The recommendation/comments/suggestion (if any) received from the concerned expert along with Research proposal shall be placed before the Board of Research for approval.
- iv) Accordingly Ph.D. Scholar and concerned Guide shall modify the proposal as per the suggested amendment(s) / correction(s) of Board of Research (if any) and resubmit the same
- v) After approval to the Synopsis / Research proposal by Board of Research the final registration of the Ph.D. Scholar shall be issued by the University
- vi) After final registration, no major change in the Topic and Synopsis shall be allowed. However in exceptional circumstances the request of major change in Topic and/or Synopsis may be considered by the Board of Research. In such case the term shall be counted from the date of approval letter of the changed Topic and / or Synopsis.

## **20) Course Work:**

- i) After registration and within six months from the date of final registration, the Ph.D. Scholar registered for Ph.D. Course shall need to undergo a **Pre-Ph.D. orientation course of 07 days** duration organised by the College / Institute or at any other place recognized and declared by the University from time to time. Accordingly the candidate is required to submit the certificate of participation along with the six monthly progress report, approved by the Technical Committee. The six monthly progress report shall be assessed by the Board of Research from time to time. If the Ph.D. Scholar fails to submit

three consecutive six monthly progress reports, then his admission shall be liable to be cancelled.

- ii) The Candidate shall publish at least two research papers in National / International Journal(s) or submit the evidence of acceptance of papers, related to his Research Topic in a recognized National or International journal before submission of Final Thesis to the University.
- iii) The Ph.D. scholar shall be exempted from writing and submission of final Thesis if he has published at least five research papers in National / International Research Journal(s) having impact factor more than 0.5 each, on the topic of his research. It is required to submit such research papers (two hard copies) to the University after two years approval of title and synopsis, for the purpose of Pre Ph.D. Viva-voce. The Pre Ph.D. Viva-voce committee may suggest the concerned Ph.D. scholar to publish one or more research papers in addition to earlier five research papers on the concerned topic of Ph.D. The research papers shall be evaluated as Thesis. The procedure for evaluation, open viva-voce and defence shall be the same as prescribed in this Direction for the Ph.D. Thesis.

## **21) Redressal of Dispute:**

In case the Research Scholar is unable to do his Research work due to any dispute between a Research Scholar and his Guide / Research Centre or the dispute regarding admission or any other dispute, the Redressal Committee consisting of the following shall examine the matter and report to the Vice-Chancellor, whose decision shall be final:

- (i) The Vice Chancellor or his nominee (**Chairman**)
- (ii) Dean of the concerned faculty (Member)
- (iii) Registrar (Member)
- (iv) The Controller of Examinations (Member)
- (v) Incharge of concerned Section (Member Secretary)

The Committee shall hear both the parties and submit its report with specific recommendations. The report shall be submitted to the Vice-Chancellor for his final approval / decision.

**22) Pre- Ph.D. Viva Voce:**

i) After completion of the minimum period of Ph.D. course as specified under this Direction and after completion of course work as specified under this Direction, within two months from the date of course completion, the candidate shall forward application to the University, through his Research Guide and Head of Research Institute along with in 02 hard copies of Draft Thesis in Spiral binding, Soft copy of draft Thesis (PDF format) by e-mail, 02 CDs containing soft copies of draft Thesis in PDF format and 06 copies of the draft Thesis summary for the Pre Ph.D. Viva Voce. The draft Thesis summary should only contain the findings / highlights of the Research undertaking within 10 to 12 Pages. The draft Thesis shall be written and printed preferably in Arial, Times New Roman fonts with font size of 12 in double spacing and the language of the Thesis shall be English only.

ii) Pre Ph.D. Viva Voce Committee

- a The Vice-Chancellor :- Chairman
- b The Pro Vice-Chancellor (Member or Chairman in absence of Vice-Chancellor)
- c The Concerned Faculty Dean (Member or Chairman in absence of Vice Chancellor and Pro Vice-Chancellor)
- d One Subject Expert Nominated by Vice Chancellor (Member)
- e One Content Expert Nominated by Vice Chancellor (Member)

iii) On receipt of Draft Thesis it shall be placed before the Anti Plagiarism Committee for checking of plagiarism in the Research work and in the Thesis Draft. After receipt of satisfactory report from Anti Plagiarism Committee, the Pre Ph.D. open Viva Voce shall be scheduled by the University.

iv) It is mandatory to the concerned Research Scholar to undergo Pre Ph.D. Viva Voce at scheduled time and venue as specified by the University.

- v) It is mandatory to the student(s) that queries/ suggestions/ modifications, if any, pointed out by the Pre-Viva Voce Committee shall be complied with by the student in their Thesis within a period of 01 month. Revised draft Thesis will be forwarded to the Committee for their assessment. On the assessment, if revised Thesis is not found satisfactory, the observation(s) pointed out by the Committee shall be communicated to the students for further compliance. If the report of Pre Viva Voce is found satisfactory the Thesis will be forwarded for further process as per direction.

### **23) Submission of Thesis:**

- i) After successful Pre – Ph.D. Viva Voce and subsequent fulfilment of queries, amendment / modification etc. suggested by the Committee, the candidate shall be eligible to submit final Thesis.
- ii) The candidate shall submit four hard copies of final Thesis along with 02 CDs containing soft copies in PDF format and 10 copies of the Thesis summary.
  - a) Thesis should be typed in Arial or Times New Roman Font, in the font size 12 in double spacing. It shall be well binded. No Spiral binding Thesis shall be accepted.
  - b) The prescribed fees for evaluation shall be enclosed with such application. The Thesis shall include Certificate in the form 'A' ([Annexure XI](#)) from the Research Guide and a declaration from the Ph.D. Scholar that, the work reported in the Thesis is original work carried out by the Ph.D. Scholar himself and that the Research work from other sources has not been included except citation.
  - c) The material which has been obtained from the other sources shall be duly acknowledged in the Thesis by the Ph.D. Scholar. If the material obtained from the other sources has not been duly acknowledged, then he shall be held responsible in case of Plagiarism. He should also be aware about the consequences of Plagiarism. In case of Plagiarism, the Ph.D. Scholar shall be liable to be punished for withdrawal of the Thesis/ Ph.D. Degree (even if awarded).

## **24) Appointment of Examiners / Referees:-**

- i) The exhaustive Panel of Examiners/Referees shall be prepared as per the provision under section 31 (5) (a) of Maharashtra University of Health Sciences Act 1998.
- ii) The Board of Examination shall appoint Examiners/Referees from the panel prepared by the 31 (5) (a) committee for evaluation of Thesis.
- iii) For Thesis examination, there shall be the panel of two external examiners, one of whom shall be preferably from outside of the Maharashtra. For the viva-voce and the defence of the Thesis, there shall be a separate viva voce committee of five members that includes:
  - (a) Guide of the candidate, who shall be the convener cum internal examiner
  - (b) One external examiner who has examined and recommended acceptance of the Thesis.
  - (c) The expert appointed by the Vice Chancellor who shall be the Chairman of the committee.
  - (d) Two members nominated by the Academic Council.
- (iv) This committee shall evaluate the performance of the Research Scholar. In case of a Research Scholar working independently under self-guidance, the Vice-Chancellor shall, in consultation with the Dean of the concerned faculty shall appoint a senior recognized Ph.D. Guide as convener cum internal examiner in the place of Guide in the above mentioned committee.

## **25) Evaluation:**

- i) The Vice Chancellor shall appoint any two examiners from the Panel of external examiners prepared by committee constituted under section 31 (5) (a) and approved by Board of Examination to examine the Thesis, one of them shall be from outside of Maharashtra state. The Controller of Examinations shall communicate each examiner by e-mail or by post along with a copy of the summary of Thesis. The Examiner shall communicate acceptance of examinership to the Controller of Examinations. If no

information is received from an examiner within a period of four weeks from first communication to the examiner, his appointment shall be cancelled and a new examiner shall be appointed from the existing panel of examiners.

- ii) In case of acceptance of examinership for assessment, the Controller of Examinations shall forward the Thesis to such examiners.
- iii) The examiners shall independently send their Thesis assessment reports along with copy of Thesis, to the Controller of Examinations within sixty days from the date of receipt of the Thesis. If an examiner fails to do so, the Controller of Examinations shall immediately after the expiry of the said period, request him to submit the report and the Thesis within further period of thirty days. If the concerned examiner fails to comply even within the extended period, the Vice-Chancellor shall cancel his appointment forthwith and a new examiner shall be appointed from the existing panel of examiners. However, such examiner shall needs to deposit / refer back Thesis to the University

In case of request for the late submission of the report or receipt of the report after the appointment has been cancelled or the loss of report or postal delay, etc. the Vice-Chancellor shall take an appropriate decision.

- iv) The examiners shall submit the Thesis assessment report in the prescribed form ([Annexure XII](#)) and shall make one of the following recommendations:
  - a) The Thesis is acceptable for the award of Ph.D. Degree if it contains substantial point(s) and shows significant contribution in existing scientific knowledge.
  - b) The Thesis is acceptable subject to revision on the certain points (Suggested by examiner) :
  - c) The Thesis is not acceptable.

In case of non-acceptance of the Thesis, the examiner (s) must mention precise reason (s) in writing for non-acceptance of Thesis.

- d) In case of suggestions by the examiner(s), the candidate be advised to revise the Thesis in the light of points raised in the Thesis assessment Report by the examiner(s) and re-submit to the University within prescribed period, if any.

- e) If both external examiners recommend for acceptance of the Thesis for the award of the Ph.D. Degree, the Thesis shall be accepted and it will be processed for final Viva-Voce and defense of Thesis.
- f) If both external examiners recommend non acceptance of the Thesis for the award of the Ph.D. Degree, the Thesis shall be non-accepted.
- g) In case of suggestions of examiners the Ph.D. Scholar shall required to resubmit the revised Thesis to the University within one month for its further submission to the examiner(s) who have suggested the changes. The examiner(s) shall re-submit his / their report in a prescribed form as given in ([Annexure XIII](#)). The examiner(s) shall recommend the revised Thesis to be as either acceptable or non acceptable.
- h) In case of non-acceptance of the Thesis by one external examiner and the other external recommends acceptance, then the evaluation report of the internal examiner shall be considered. In such circumstances the Thesis shall be accepted and processed for the Viva Voce if two examiners (including internal examiners) have accepted the Thesis.
- v) The external examiners shall have to submit hard copy of the Thesis forwarded by the University for their evaluation along with their recommendation reports.

**26) Open Viva Voce and Defence of the Thesis:**

- i) On receipt of the positive recommendation reports from any two examiners for the award of Ph.D. Degree, the University shall appoint a Viva-Voce committee as follows:
  - (a) The expert appointed by the Vice Chancellor who shall be the Chairman of the committee.
  - (b) Guide of the candidate, who shall be the convener cum internal examiner
  - (c) One external examiner who has examined and recommended acceptance of the Thesis.
  - (d) Two members nominated by the Academic Council.

- (ii) The intimation of positive recommendation(s) of two examiners shall be communicated to the Guide of the Ph.D. Scholar, to arrange the Viva and the Defence of the Thesis at the earliest suitable date suggested by the external examiner. The date of open Viva-Voce and defence of Thesis shall be decided in consultation with the Controller of Examinations of the University. The Viva Voce and the Open defence of the Thesis shall be arranged at the place as decided by the University. The Guide shall make the reports available to the external examiner at least 3 days before the date of the Viva Voce. It is the duty of the Guide / Head of the Department to circulate the notice of open defence of the Thesis mentioning the Research Topic of the Thesis to other Departments at least 48 hours of the Viva Voce to enable other faculty members and students to attend the Viva Voce.
- (iii) If the external examiner, is not able to remain present at the time of the defence, the Viva Voice shall be postponed to other suitable date.
- (iv) The Chairman of the open Viva-voce committee shall moderate the Viva Voce and Open defence. The Ph.D. Scholar shall make a presentation of his Thesis, covering the background, objectives, methodology, results and the conclusions of his study. The examiner and those attending the Open defence, can also participate by asking relevant questions. The questions during the Viva Voce shall be of constructive type, not teasing in nature and shall lead to logical discussion on the Topic of the Thesis. No one among the audience shall have right to comment on the acceptability or non-acceptability of the Thesis for the award of the Ph.D. Degree. However, the examiners will adjudge the answer(s) given by the Ph.D. scholar to queries of the audience and appropriately consider it while preparing their report. The decision of the Chairman of the committee shall be final and binding on the query raised by the audience.
- v) In case of Ph.D. Scholar working independently (as self guide), the Vice Chancellor shall appoint a Senior Research Guide from the panel of Ph.D. examiners who shall act as internal Guide cum convener for Viva Voce.



- vi) The final consolidated report about the award of Ph.D. Degree shall be submitted to the Controller of Examination by the Guide and the external examiner immediately after the defence is over in a prescribed format ([Annexure XIV](#)). Their submission shall be specific. It shall contain recommendation for the award of the Ph.D. Degree or a fresh Viva Voce after a specified time if the performance of the candidate is not satisfactory.
- vii) In case the Defence & Viva Voce is not satisfactory, the examiners may by majority recommend with reasons in writing the specific comments regarding unsatisfactory performance of the candidate. The candidate shall act upon the comments accordingly and face the Viva Voce again after the period of three months before the same examiners.

**27) Final result :**

- i) The overall result of the Viva Voce and the Defence of the Thesis shall be declared by way of notification by the Controller of Examinations within 15 days from the date of receipt of the favorable report on the defence of the Thesis and the Controller of Examinations shall issue a Provisional certificate to the Ph.D. Scholar, certifying that the Ph.D. Degree has been awarded in accordance with the provisions of Regulations of the U.G.C., Concerned Council (If any) and the University.
- ii) Once the Ph.D. Degree is awarded to the candidate, one soft copy of the Thesis shall be kept under the custody of the Controller of Examinations and second soft copy shall be submitted to U.G.C. to publish on INFLIBNET. The first hardcopy of the Thesis shall be deposited in the University Library, one at University and one at concerned Ph.D. Research Centre.

**28) Miscellaneous:**

- i) If at any stage it is found that the material quoted/ referred in the Thesis is copied from any other source/Author/Researcher and found the same as plagiarised as per norms of the University, then the University shall withdraw the Ph.D. Degree, of such candidate or shall not process the Thesis for further

evaluation and examination, as the case may be by following appropriate procedure.

- ii) Various fees shall be such as prescribed by the University from time to time and it shall be notified separately on University website.
  - iii) The Vice-Chancellor, The Pro Vice-Chancellor, The Registrar of the University (if recognized as a Ph.D. guide) shall be permitted to take the Ph.D. students from any recognized Ph.D. Research Centre.
  - iv) The Ph.D. Scholar shall not claim Degree of Ph.D., merely on the basis of his admission to the Ph.D. Course or his appearance in the final Viva-Voce.
  - v) Ordinarily degree of Ph.D. should not be awarded unless there is significant contribution in existing scientific knowledge.
  - vi) “The gender ‘He’ denotes and include all gender.”
- 28)** Matters which are not specifically covered in the clauses herein above and if any queries regarding the interpretation of any clause of this Direction, then it shall be decided by the Vice-Chancellor and the decision of the Vice-Chancellor shall be final and binding.
- 29)** This Direction shall remain in force until ordinance is made in this behalf by the University and assented by the Hon'ble Chancellor.

**Sd/-**

**Date:- 17/03/2015**

**Prof. Dr. Arun V. Jamkar**

**Place:- Nashik**

**Vice Chancellor**

# MAHARASHTRA UNIVERSITY OF HEALTH SCIENCES, NASHIK

DIRECTION NO- 04/2015

PROCEDURE AND RULES GOVERNING AWARD OF Ph.D. DEGREE

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