



# **REGULATIONS GOVERNING THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) PROGRAM OF YENEPLOYA (DEEMED TO BE UNIVERSITY)**

**(Amended as per the Notification from UGC, MHRD, New Delhi, dated 7<sup>th</sup>  
November 2022)**

**INDEX**

<b>CONTENTS</b>	<b>PAGE</b>
PREAMBLE	
01. NOMENCLATURE OF THE DEGREE	3
02. DISCIPLINES	3
03. ELIGIBILITY FOR ADMISSIONS	4
04 DURATION OF RESEARCH WORK	5
05 PROCEDURE FOR ADMISSION	6
06. ALLOCATION OF RESEARCH SUPERVISOR	8
07. Ph.D. COURSE WORK	11
08. RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS	12
09. EVALUATION AND ASSESSMENT METHODS, MINIMUM STANDARDS/CREDITS FOR AWARD OF THE DEGREE, ETC.	13
10. ACADEMIC, RESEARCH, ADMINISTRATIVE AND INFRASTRUCTURE REQUIRMENTS TO BE FULFILLED BY COLLEGES FOR GETTING RECOGNATION FOR OFFERING PH.D PROGRAMS	15
11. PH.D THROUGH PART TIME MODE	16
12. ISSUING A PROVISIONAL CERTIFICATE	16
13. AWARD OF PH.D DEGREE PRIOR OF NOTIFICATION OF UGC REGULATIONS 2022	16
14 . DEPOSITORY WITH INFLIBNET	17
11. GUIDELINES	18

## **PREAMBLE**

The Ph.D. program was initiated in Yenepoya (Deemed to be University) in 2008 adapting the UGC regulations. In lieu of the UGC Regulations, 2022, which specifies the “Minimum Standards and Procedure for the award of PhD degree” the regulations governing the Ph.D. program at Yenepoya (Deemed to be University) have been amended. All the important features of the UGC Regulations, 2022, have been incorporated into this regulation.

## **01. NOMENCLATURE OF THE DEGREE**

The degree awarded by the University shall be called “DOCTOR OF PHILOSOPHY” in the “Faculty of Medicine / Dentistry/ Nursing / Pharmacy/ Ayurveda/ Homeopathy/ Naturopathy and Yogic sciences/ Science/ Allied Healthcare Professions/ Arts and Social Sciences/ Commerce and Management Studies.

## **02. DISCIPLINES**

Admission to Ph.D. program will be made under the following faculty, covering a wide range of disciplines.

- 2.1 FACULTY OF MEDICINE
- 2.2 FACULTY OF DENTISTRY
- 2.3 FACULTY OF NURSING
- 2.4 FACULTY OF SCIENCE
- 2.5 FACULTY OF ALLIED AND HEALTHCARE PROFESSIONS
- 2.6 FACULTY OF PHARMACY
- 2.7 FACULTY OF AYURVEDA
- 2.8 FACULTY OF HOMEOPATHY
- 2.9 FACULTY OF COMMERCE AND MANAGEMENT
- 2.10 FACULTY OF ART AND SOCIAL SCIENCES
- 2.11 FACULTY OF NATUROPATHY AND YOGIC SCIENCES

All subjects coming under the scope of respective faculties or any other new faculty approved by the University will be included from time to time.

### **03. ELIGIBILITY FOR ADMISSIONS**

3.1 Candidates with the following qualifications are eligible for enrolment for Ph.D. program:

- a) Medical and Dental : Candidates with M.D. or M.S., or Medical P.G. Diploma, M.D.S., or M.Sc. in medical subjects, including MSc in Oncology and MSc in Human Genetics are eligible for enrollment for Ph.D course.
- b) Physiotherapy: Candidates with a PG degree in Physiotherapy, i.e., MPT degree or a Master's degree considered as equivalent by Yenepoya (Deemed to be University) are eligible for enrollment to Ph.D course in Physiotherapy.
- c) Pharmacy: Candidates with M.Pharm, Pharm-D and Pharm – D (PB) degree awarded by a College/University recognized by AICTE/PCI/RGUHS or a P.G. Degree in Pharmacy are eligible for enrollment for Ph.D course in Pharmacy of this University.
- d) Ayurveda Candidates with Ayurveda Vachaspathi (M.D (Ayu) /MS (Ayu) in Ayurveda in all the specialties or an equivalent P.G. qualification awarded by any other College/University recognized by CCIM are eligible for enrollment for Ph.D course in Ayurveda of this University.
- e) Homeopathy: Candidates with M.D. in Homoeopathy degree or an equivalent P.G. qualification awarded by a College/ University recognized by CCH are eligible for enrollment for Ph.D course in Homoeopathy of this University.
- f) Nursing: Candidates with M.Sc/M.Phil in Nursing degree or a P.G. Degree in Nursing considered as equivalent by Yenepoya (Deemed to be University) awarded by a College/University recognized by INC.
- g) Arts, Social Sciences, Science, Commerce, Management: MA (Master of Arts), M.Sc. (Master of Science), M.Com (Master of Commerce), MBA (after BA/B.Sc/B.Com), PG Diploma in Management of 2-year duration (after BA/B.Sc/B.Com).

3.2 Candidates who have completed

- a) A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or

- b) a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification 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 in that country to assess, accredit or assure quality and standards of the educational institution.

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, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

- c) A candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed, is permitted to register for Ph.D. Program.
- d) For candidates who have cleared M.Phil degree, and candidates who have cleared the MD/MS/DM/MCh/DNB/MDS Course, 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.

Candidates having no clear grading / marks in their Post-Graduate examination shall be considered for the Ph.D program subject to approval from the Equivalence Committee.

- e) Admission of International students in Ph.D. programme

The HEIs may decide their own selection procedure for Ph.D. admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.

(Refer **GUIDELINES FOR ELIGIBILITY CRITERIA FOR ADMISSION (CLAUSE NO. 3)**)

#### **04 DURATION OF RESEARCH WORK**

- 4.1 Ph.D. programme shall be for a minimum period of THREE years, including course work and a maximum of SIX years from the date of admission to the Ph.D programme..

- 4.2. Extension of Duration :

- 4.2.1 A maximum of an additional TWO (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Yenepoya (Deemed to be University); However the total period for completion of a Ph.D. programme in such cases should not exceed EIGHT (8) years from the date of admission in the Ph.D. programme.
- 4.2.2 The women candidates and Persons with Disability (more than 40% disability) are allowed a relaxation of TWO years for Ph.D. in the maximum duration. However, the total period for completion of a Ph.D. programme in such cases shall not exceed TEN (10) years from the date of admission to the Ph.D. programme
- 4.2.3 In addition, the women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of Ph.D.

## **05 PROCEDURE FOR ADMISSION**

### **5.1 Application Procedure**

- 5.1.1 Application for enrolment for the PhD program shall be made in the prescribed forms (Annexure 1 :**Format of the Application for the Ph.D. Program**), which shall be made available at the office of the Registrar /website, Yenepoya (Deemed to be University), following a website/ newspaper notification of the same. The filled in application forms along with proposed area of work, routed through the proper channel, shall be submitted to the Registrar, Yenepoya (Deemed to be University), on or before the last date prescribed in the notification on payment of the requisite fee.
- 5.1.2. The candidate shall furnish the following information along with the application for enrolment :
- 5.1.3 Name of the department and Institution where the candidate proposes to work and conduct research
- 5.1.4 Proposed research work – work outline
- 5.1.5 No objection certificate from the Head of Department and Head of Institution if employed.

### **5.2 Procedure for Admission**

#### **5.2.1 Exemption from appearing for the entrance test**

Admission to Ph.D. shall be subject to passing the entrance test conducted by the Yenepoya (Deemed to be University). However, candidates who have qualified in the centrally conducted UGC-NET/ UGC-CSIR NET (including JRF/SLET/GATE/DBT/DST/DOE/AYUSH/ KSET/GPAT/teacher fellowship) exams are exempted from appearing in the entrance test.

Candidates who have passed M.Phil. degree examination from any recognized University, with a minimum of 55% aggregate marks are also exempted from the entrance test.

5.2.2 Yenepoya (Deemed to be University) shall admit candidates by a two stage process, through entrance test and interview :

a) The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The Entrance Test shall be conducted at the Centre(s) notified in advance.

b) Candidates with a minimum of 50% will be considered as eligible for the interview. An interview/*viva-voce* shall be organized by the Ph.D. Admission committee constituted by the Yenepoya (Deemed to be University) (Annexure 4: STRUCTURE OF THE Ph.D. ADMISSION COMMITTEE). For candidates who have not secured 50% in the entrance: in case of candidates belonging to general merit category a minimum of 45%, and in case of SC/ST/OBC category a minimum of 40% in the entrance exam is essential.

c) For the selection for candidates based on the entrance test, weightage of 70% shall be given for the entrance exam and 30% for the interview.

However, the aggregate of both entrance exam marks and the interview marks cannot be less than 50% in these categories also.

5.2.3 The candidates are required to discuss their research interest/area through a presentation before a Ph.D. Admission Committee, duly constituted by the Yenepoya (Deemed to be University).

5.2.4 The interview/*viva voce* shall also consider the following aspects, viz. whether:

- a) the candidate possesses the competence for the proposed research
- b) the research work can be suitably undertaken at the Institution/College
- c) the proposed area of research can contribute to new/additional knowledge.

5.2.5 Applications, the results of the entrance exam, interview and the brief research proposals of the candidates will be placed before a Ph.D. Admission Committee constituted by the University. The Committee will examine and review the research proposal and if the committee *prima facie* finds the applicant qualified and suitable, will make recommendations to the University for provisional registration.

## 06. ALLOCATION OF RESEARCH SUPERVISOR

### **Eligibility criteria to be a research supervisor, co-supervisor, number of Ph.D. scholars permissible per supervisor, etc.**

- 6.1 The allocation of Research Supervisor for a selected research scholar shall be decided by the Department based on the consensus of the whole department concerned, depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/*viva voce*.
- 6.2 In case of topics which are of inter disciplinary nature, where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

### **6.3 Eligibility criteria to become a research supervisor :**

(Annexure 12 : FORMAT OF THE APPLICATION FOR RECOGNITION AS RESEARCH SUPERVISOR / CO-SUPERVISOR FOR THE Ph.D. PROGRAM)

All regular Professors, Associate Professors / Readers and Assistant Professors / Lecturers / Research faculty working full time holding a Doctorate Degree (DM/ MCh/ Ph.D.) are eligible to be considered as Research Supervisors with the approval of the Board of studies subject to the following:

- a) Any **permanent faculty member working as Professor/Associate Professor** of the University/ College affiliated to the University/ units of the Yenepoya (Deemed to be University), with at least FIVE research publications, first / second / corresponding author, in peer-reviewed or refereed journals after obtaining PhD, and any permanent faculty member working as **Assistant Professor** of the university/ college affiliated to the University/ units of the Yenepoya (Deemed to be University) with a minimum of FIVE years teaching/research experience with a Ph.D. degree and at least THREE research publications, first / second / corresponding author, in peer-reviewed or refereed journals may be recognized as Research Supervisor in the university where the faculty member is employed or in its affiliated Post-graduate Colleges/institutes. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. Ph.D. awarded by a university under the supervision of a faculty member who is not an employee of the university or its affiliated Post- graduate Colleges/institutes would be in violation of these Regulations.



- b) Provided that in areas/disciplines where there is no, or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. In departments where there are no eligible research supervisors for the PhD program, the Institution may relax the above condition for recognition of Professors/Associate Professor with additional degrees, viz., DM/MCh, as research supervisors, without applying any other clauses. However, for Assistant Professors with additional degrees, viz., DM/MCh, at least THREE original research publications is required for recognition as research supervisors.
- c) For Ph.D. scholars working in Central government/ State government research institutions whose degrees are given by Yenepoya (Deemed to be University) the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the above requirements.
- d) Professors in the Post-Graduate departments of the constituent colleges / units of the Yenepoya (Deemed to be University) who do not have Doctoral degree, viz. DM / MCh / Ph.D., in the concerned/ related subject shall be deemed to be the recognized Research supervisors in their subjects provided they have at least 10 years of teaching experience after having acquired their Masters Degree of which 5 years shall be Post-graduate teaching in the relevant discipline. They also should have minimum FIVE original research publications in indexed journals to his/her credit of which at least THREE as first / second / corresponding author, as evidence of active research involvement.
- e) In any specialty, if a suitable research supervisor with adequate qualification fulfilling all the other criteria to become a Ph.D. research supervisor is not available, a recognised research supervisor from the relevant / related subject of another faculty may be considered.
- f) Co-Supervisors: Cosupervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
- g) Adjunction faculty: Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
- h) In case of interdisciplinary/multidisciplinary research work, if required, a Co-Supervisor from outside the Department/School/Centre/College/University may be appointed.

#### **6.4 Maximum number of scholars a Research Supervisor can supervise:**

- 6.4.1 An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) Ph.D. scholars, respectively, at any given time.
- 6.4.2 Whenever the number of candidates registered under a Research Supervisor has reached the maximum, a Research Supervisor becomes eligible to supervise another Ph.D. candidate only after the submission of the thesis by any one of the Ph.D. candidates already registered under him/ her, or a vacancy arises due to discontinuation of any registered candidate.
- 6.4.3 A Research supervisor recognized by more than one University, he /she shall give an undertaking of the number of candidates working under his / her guidance.
- 6.4.4 Guiding International students: Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified in clause 6.4.1 above. At any point, the total number of Ph.D. scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.4.1 and clause 7.1.
- 6.4.5 Co-supervisor working in an institution other than the constituent unit of the University (Refer GUIDELINES FOR RECOGNITION OF INSTITUTIONS AS RESEARCH COLLABORATORS FOR Ph.D PROGRAM and Annexure 2) should fulfil the requirements to the satisfaction of the Yenepoya (Deemed to be University) regarding their expertise.
- 6.4.6 A Research supervisor shall not undertake to offer guidance for Ph.D. work to any of his/her first degree relatives.
- 6.4.7 Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- 6.4.7 The allotment/ allocation of research supervisor shall not be left to the individual student or teacher.

## **6.5 Change of Research Supervisor**

6.5.1 Once registered for Ph.D. program, ordinarily no change of Research supervisor is allowed for any candidate. In exceptional cases, with no objection certificate from the Research supervisor and willingness from the other recognised research supervisor (of the same specialty) to Guide the candidate (both letters endorsed by the Head of the Institution), the University may consider the change of Research supervisor.

6.5.2 The Research Advisory Committee may consider the request-

- (i) If the Scholar has completed two years of his/her research program and the Research supervisor is transferred to another area, the Co-supervisor can guide the scholar with the permission of the Research Advisory Committee.
- (ii) If the Scholar is interested to move along with the Research supervisor in the event of the transfer of the Research Supervisor, the scholar will be permitted with the permission of the Research Advisory Committee.
- (iii) In case the Research supervisor is leaving the Institution permanently or on deputation elsewhere or otherwise, for a period of more than one year, the candidate will be allotted to the co-supervisor or a new research supervisor.

6.5.3 In case of relocation of Ph.D. woman 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 will however give due credit to the parent Research Supervisor and the institution for the part of research already done.

## **07. Ph.D. COURSE WORK**

Provisionally registered Ph.D. scholars shall be required to undertake course work for a minimum period of one semester at the University Campus.

7.1 The course work shall be treated as preparation for Ph.D. course work examination and include research methodology, biostatistics, research ethics, computer applications, review of published research in the relevant field, training, etc. The minimum qualifying requirement for allowing the Ph.D. student to proceed further with the research work shall be successful completion of the Ph.D. course work examination.

- 7.2 The Credit requirement for the Ph.D. coursework shall be 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. The Research Advisory Committee can also recommend UGC recognized online courses as part of the credit requirements for the Ph.D. programme.
- 7.3 A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- 7.4 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.5 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar.
- 7.6 All candidates admitted to the Ph.D. program shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.7 Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 7.8 Evaluation of the Ph.D. course work will be done by conducting a Ph.D. course work examination by the University.
- 7.9 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.
- 7.10 If found necessary course work may be carried out by doctoral candidates in sister departments/constituent units within the University for which due credit will be given to them.

(Annexure 4 : SCHEME OF Ph.D. COURSE WORK, EXAMINATION, EVALUATION AND DECLARATION OF RESULTS; Annexure 5: FORMAT OF THE WORK PROPOSAL SYNOPSIS)

- 7.11 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.

## **8. Research Advisory Committee and its functions**

There shall be a Research Advisory Committee, or an equivalent body for similar purposes as defined in the Statutes/Ordinances of the Institution concerned, for each Ph.D. scholar.

- 8.1 The Research Supervisor of the scholar shall be the Convener of this Committee.  
This Committee shall have the following responsibilities:
- 8.1.1 To review the research proposal and finalize the topic of research;
  - 8.1.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
  - 8.1.3 To periodically review and assist in the progress of the research work of the research scholar.

(Annexure 6 : FORMAT OF THE HALF YEARLY PROGRESS REPORTS)

- 8.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institution/College with a copy to the research scholar. (Annexure 7: FORMAT OF THE SLIDES FOR THE PROGRESS REVIEW)

- 8.3 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 Institution/College with specific reasons for cancellation of the registration of the research scholar.

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

- 9.1 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses above, the Ph.D. scholar shall be required to undertake research work and produce

a draft thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.

- 9.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned, which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.
- 9.3 Ph.D.scholars must publish at least one original research paper in National or International, indexed journal and make at least two paper presentations at conferences/ seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 9.4 The candidate will be eligible to submit the final summary on getting approval from the Research Advisory Committee. (Annexure 8: FORMAT OF THE FINAL SUMMARY /SYNOPSIS)
- 9.5 Prior to submission of the final summary (synopsis) of the thesis, the student shall make a presentation in the Department that may be open to all the faculty members and research students for getting a feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor.
- 9.6 All the Ph.D. scholars shall submit an application along with the final summary (six copies) containing the summary of the research work done, duly signed by the Research Supervisor and Co-Research Supervisor, to the Controller of Examinations at least three months before submission of final thesis. (Annexure 9: FORMAT OF THE APPLICATION FOR THESIS SUBMISSION)
- 9.7 “Certificate of Plagiarism check” of the final summary endorsed by the Research supervisor and research co-supervisor shall be submitted along with the final summary.(Annexure 10: DETAILS OF PLAGIARISM CHECK)
- 9.8 The Controller of Examinations, shall proceed with the constitution of panel of three Examiners (including Research Supervisor as internal examiner) from a panel of not less than ten experts submitted by the Research Supervisor, and approved by the Board of Examiners for the adjudication of the Ph.D. thesis.
- 9.9 The Controller of Examinations shall forward the summary to two appointed external examiners. Upon receipt of acceptance in writing by the external examiners the Controller of Examinations shall then send the thesis to them for evaluation.

- 9.10 The candidate shall submit THREE copies of his/her thesis along with a soft copy (CD) within 6 months after submission of the summary duly signed by the research Supervisor and Co-supervisor to the Controller of Examinations. (Annexure 11 : FORMAT OF THE THESIS). In case the research scholar fails to submit the thesis within six months after the submission of final summary, an extension may be provided with payment of a penal fee.
- 9.11 The final *viva voce* (defense) shall be conducted within six months from the date of submission of the thesis.
- 9.12 A candidate shall also submit along with his/her thesis-
- 9.13 “No due certificates” from the Head of Department and Head of the Institution where he/she has worked, from the University Librarian and from the Finance Officer of the Yenepoya (Deemed to be University).
- 9.14 Research papers published by him/her related to their research topic, during his / her course as Ph.D. scholar.
- 9.15 While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.
- 9.16 The Ph.D. thesis submitted by a Ph.D. scholar shall be evaluated by his/her Research Supervisor and at least TWO external examiners who are experts in the field and not in employment of the Higher Educational Institution concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, ONE of the external examiners should be chosen from outside India. The *viva voce* board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The *viva voce* shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. Higher Educational Institutions may formulate appropriate rules/ordinances to effect the provisions of this Regulations.
- 9.17 The public *viva voce* of the research scholar to defend the dissertation/thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the dissertation/thesis is/are satisfactory and include a specific recommendation for conducting the *viva-voce* examination. If one of the evaluation reports of the external examiner in case of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the Institution shall send the thesis to another external examiner out of the approved panel of examiners and the *viva-voce* examination shall be held only if the report of the latest examiner is satisfactory. If the

report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

9.18 The Institutions shall develop appropriate methods so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.

## **10. Academic, research, administrative, and infrastructure requirements to be fulfilled by Colleges for getting recognition for offering Ph.D. programmes**

10.1 Post-graduate Colleges offering 4-year Undergraduate Programmes and/or Post-graduate Programmes, may offer Ph.D. programmes, provided they satisfy the availability of eligible Research Supervisors, required infrastructure, and supporting administrative and research facilities as per these Regulations.

10.2 Colleges and research institutions established by the central government or a State government whose degrees are awarded by Higher Educational Institutions shall offer Ph.D. programmes provided they have:

- i. At least two faculty members in a college or two Ph.D.-qualified scientists in the research institution.
- ii. Adequate infrastructure, administrative support, research facilities and library resources as specified by the HEI.

## **11. Ph.D. through Part-time Mode**

11.1 Ph.D. programmes through part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.

11.2 The Yenepoya (Deemed to be University) shall obtain a “No Objection Certificate” through the candidate for a part-time Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating the following:

- i. The candidate is permitted to pursue studies on a part-time basis.
- ii. His/her official duties permit him/her to devote sufficient time for research.
- iii. If required, he/she will be relieved from the duty to complete the course work.

11.3 Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct Ph.D. programmes through distance and/or online mode.



## **12 Issuing a Provisional certificate**

Prior to the actual award of the Ph.D. degree, the degree- awarding Higher Educational Institution shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.

## **13 Award of Ph.D. degrees prior to Notification of UGC Regulations 2022**

Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

## **14 . DEPOSITORY WITH INFLIBNET**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the Institution concerned shall submit an electronic copy of the /Ph. D. Thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/ Colleges.

The University may frame guidelines for further clarity in the implementation of the regulations.

The PhD regulations outlined by other statutory bodies, such as MCI, DCI, INC, etc., maybe considered and implemented time to time.

## **LIST OF GUIDELINES**

### **GUIDELINES :**

1. Guidelines for eligibility criteria for admission (clause No. 3)
2. Guidelines for FULL / PART TIME CANDIDATES (clause No. 4)
3. GUIDELINES FOR Recognition of Institutions as Research Collaborators for Ph.D Program (CLAUSE NO. 6.4.6)

## **GUIDELINES**

### **1. GUIDELINES FOR ELIGIBILITY CRITERIA FOR ADMISSION (CLAUSE NO. 3)**

1. Teacher candidates, who fulfill the qualifications specified in the regulations and are regular (completed probation period) (i) teaching faculty (ii) non teaching staff in a department / Constituent college of the Yenepoya (Deemed to be University) may be permitted to register himself / herself as a part time scholar for Ph.D degree under a Supervisor recognized by this University.
2. Part time candidates shall be required to work under the supervisor directly. A period of 30 days maybe availed by internal part time candidates during the prescribed period of research work for data collection, discussion, etc. This period shall be treated as study leave subject to approval of the University. This leave can be availed to a maximum of 10 days per year not exceeding 30 in the first three years of the duration of the PhD study. The Supervisor shall submit certificate of attendance of candidate (with dates) to the Registrar. In lieu of this study leave facility for the Ph.D program, candidates who avail this leave shall be required to give an bond to serve the institution for a period of 2 years after completion of their PhD.
3. Candidates possessing any one of the qualifications prescribed under the regulations from this University or from any other University recognized as equivalent thereto and employed as a teacher in National/State level Institutions recognised the statutory bodies or Universities in India, may be permitted to register for the Ph.D program on a part time basis provided, they fulfill the qualification stipulated and permission / No Objection Certificate is obtained from

the respective organizations/ Institutions/ Universities for pursuing Ph.D Degree of this University while continuing in employment.

## **GUIDELINES FOR FULL / PART TIME CANDIDATES (CLAUSE NO. 4)**

### **1. Full time Candidates**

- a. A full time PhD scholar is the one who pursues research work, leading to Ph.D. degree as a full time student, with /without a fellowship/scholarship and without performing any other job or assignment. He/she shall attend the department for research on all working days, except for periods when he/she is on study leave. Full time students on deputation from other Institutions are required to confirm their status as a full time student by a relevant certificate from their employer or funding agency duly endorsed by the research supervisor, Head of the Department and Head of the Institution to the effect that they are not assigned any other job except doing research leading to Ph.D. degree.
- b. Candidates registered as full time researchers for the PhD program, shall be available in the department throughout the program and the Head of the department shall maintain their attendance in the department.

### **2. Part time candidates**

- a. A part time PhD candidate is one who is employed and pursues his/her research work leading to Ph.D. degree as a part time researcher in Institutes affiliated to Yenepoya University or recognised as research collaborator by Yenepoya (Deemed to be University), in addition to his/her duties as an employee. Such Ph.D scholars are required to confirm their part time status by a relevant certificate and no objection from their employer which is endorsed by the research supervisor, Head of the Department and Head of the Institution to the effect that they are part time research scholars.
- b. Candidates registered on part-time basis should be in regular contact with the concerned research supervisors.
- c. Candidates registered on part-time basis and the study setting is not Yenepoya (Deemed to be University) campus or neighbouring areas should work at least for a minimum of 150 DAYS during the research period directly under the supervision of the Supervisor of this university. In addition to the Research supervisor from this University, they shall have a Co-research supervisor from the selected study setting recognised by the Yenepoya (Deemed to be University). The Research supervisors of

the candidate shall submit the certificate of attendance (with dates) to the Registrar along with the half-yearly progress reports.

3. A candidate can shift over from full time to part time and vice versa within the University on approval from the Research Supervisor, Head of Institution and Board of Post Graduate Teaching and Research, depending on the merit of the case, provided he/she fulfils the criteria laid down by the University and obtains prior permission from the Registrar of the University.
4. The Vice Chancellor may on the recommendation of the research Supervisor and Head of the Institution permit a PhD scholar to work elsewhere for six months at a time, if it is in the interest of the research work.
5. The Head of the Institution on the recommendation of the research research supervisor may grant two weeks leave to a full time candidate during the calendar year.

**GUIDELINES FOR Recognition of Institutions as Research Collaborators for Ph.D Program Clause No.**

A candidate shall be permitted to pursue research activities for the degree of Doctor of Philosophy (Ph.D) in any one of the **Post Graduate Departments** of Institutions which are recognized as having necessary infrastructure and facilities for carrying out research in the subject of study concerned, provided that the department has a qualified Research supervisor and the institute should have been recognised by this university as research collaborator after a peer visit by a team appointed by the Yenepoya (Deemed to be University) for this purpose.

**The criteria for the institution seeking recognition as research collaborator by this University for the Ph.D program is as follows:**

- a. Should preferably be a Centre with Academic excellence/ Institutes of National importance.
- b. Should have been in existence and actively functioning for at least 5 years and recognised by the statutory bodies.
- c. Should preferably, be a centre of research activity as evidenced by ongoing research projects funded / sponsored by any reputed funding agencies.
- d. Should have published research papers in peer reviewed scientific journals or indexed journals.

- e. Should have specifically equipped research laboratories with the requisite infrastructure and facilities for the proposed research project leading to Ph.D. degree.

The Department/Centre, which proposes to take scholars for the Ph.D program at Yenepoya (Deemed to be University) should have at least one staff member with a Postgraduate qualification in the concerned specialty with a total of 10 years teaching / research experience after his / her PG degree, out of which 5 years should be Postgraduate teaching. The faculty should have minimum five scientific publications in indexed peer reviewed journals to his/her credit of which at least three as principal author or corresponding author, as evidence of active research involvement.