

# DPU

**Dr. D. Y. Patil Vidyapeeth, Pune**

**(Deemed to be University)**

**(Re-accredited by NAAC with a CGPA of 3.62 on a four point scale at 'A' Grade)**

**(An ISO 9001 : 2008 Certified University)**

## **Ph. D. Regulations - 2017**





## **REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)**

**WHEREAS**, Dr. D. Y. Patil Vidyapeeth Pune (hereinafter referred to as “ the Vidyapeeth”); has been established as Deemed to be University under section 3 of the UGC act 1956 vide Notification No. F.9-39/2001-U.3 dated 11<sup>th</sup> January 2003 of Government of India for the purpose of ensuring proper and systematic instruction, high quality teaching and Research in Modern Medicine, Biotechnology, Bioinformatics, Nursing, Management, Indian system of Medicine and to have balanced growth in the Health and Allied Sciences.

**AND WHEREAS**, it become necessary to prescribe norms/ rules to undertake quality research in each branch of Health and Allied Sciences including interdisciplinary studies leading to award of Ph. D. Degree of the Vidyapeeth.

**AND WHEREAS**, it is also necessary to regulate admission and registration of students for Ph. D. Degree by the Vidyapeeth.

**AND WHEREAS**, the University Grants Commission has prescribed minimum standards and procedure for award of Ph. D. Degrees by issuing the U.G.C. (minimum standards and procedure for awards of Ph.D. Degree) regulations – 2016, notified in the Gazette of India dated the 5<sup>th</sup> May, 2016, as amended from time to time.

**AND WHEREAS**, some Central Councils of Health Sciences have prescribed the norms for various Ph. D. Courses.

**AND WHEREAS**, to prescribe the procedure regarding award of Ph. D. Degrees is a subject matter of existing Ph.D. Regulations 2009 of the Vidyapeeth.

### **1. Short Title and Commencement:**

- 1.1** These Regulations shall be called “**REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) DEGREE – REGULATIONS 2017 OF Dr. D. Y. PATIL VIDYAPEETH PUNE**”.
- 1.2** These Regulations shall come into force with effect from the date of its promulgation. Hereafter earlier Ph. D. Regulations 2009 stands repeal.
- 1.3** Award of degrees to candidates registered or 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 Awards of Ph. D.) Regulation, 2009.

## 2. Definition:

- a) 'Interdisciplinary Research' means research conducted by eligible candidate between two or more disciplines or Departments of the Vidyapeeth.
- b) 'Guide/Research Supervisor' means the recognized Research Guide/Research Supervisor/Supervisor of the Vidyapeeth to supervise the Ph. D. Scholar for the research.
- c) 'Co-Guide or Co-Research Supervisor' means recognized Co-Guide or Co-Research Supervisor, who is an expert in the area related to the topic of the research scholar, Co-Guide or Co-Research Supervisor shall be similar to the Guide or Research Supervisor, except that, he could be either form same speciality or from different speciality, from the same institution or from a different institution, having area of expertise related to the topic selected by the Ph. D.Scholar.
- d) 'Full-time Ph.D. Scholar' means the Research Scholar who, on deputation from another College or institution and who is being supported with or without a fellowship or Scholarship, pursues his research work only, leading to Ph.D. degree as a Full-time Research Scholar, without performing any other job or assignment.
- e) 'Part Time Ph.D. Scholar' means the Research Scholar who is already in service as a faculty member or employee of the Vidyapeeth or a different institution, or who pursues his research work leading to Ph.D. degree as a Part Time Research Scholar in a Research Centre recognized by the Vidyapeeth, in addition to performing his other duties as teacher or scientist etc., assigned to him.

## 3. Objectives :

- 1) To award the Degree of Doctorate in Philosophy (Ph.D.) on regular basis, in the faculties of Medicine, Dentistry, Nursing, Allied Health Sciences, Biotechnology & Bioinformatics, Management, interdisciplinary Studies, the faculties which will be introduced by the Vidyapeeth along with the subjects as may be specified and updated by the Vidyapeeth from time totime.
- 2) To regulate the Ph.D. work process and streamline the Ph.D. research procedure.
- 3) To strive to promote competitive merit and excellence as the sole guiding criterion in all research activities of Ph.D. scholar.
- 4) To promote an Interdisciplinary research.

#### **4. Nomenclature of Degree:-**

After fulfilling all the requirements enumerated herein after, the Degree shall be awarded, namely, the Doctor of Philosophy (Ph.D.) in the concerned discipline or subject. The degree certificate shall state the subject of speciality and the name of the Faculty. The Scholar shall be eligible to get the degree in the concerned faculty except in the case of Interdisciplinary studies.

#### **5. Eligibility criteria for admission to Ph.D. programme:**

For admission to the Ph. D. programme in a subject under any Faculty the applicant shall fulfill the following criteria:

##### **5.1. Faculty of Medicine:**

A candidate who has passed MD/ MS Degree examination in the concerned subject from an Institute which is recognized by the Medical Council of India.

**OR**

Candidate having Diplomat in National Board (DNB) qualification in the concerned subject

**OR**

A candidate having passed M. Optometry, M.Sc.(Medical) Degree examination from a recognized University in Anatomy, Physiology, Biochemistry, Pharmacology, Microbiology with a minimum of 55% marks in aggregate

##### **5.2. Faculty of Dentistry :**

A candidate who has passed a Master in Dental Surgery (MDS) Degree examination in the concerned subject from an Institute which is recognized by the Dental Council of India.

##### **5.3. Faculty of Nursing:**

**5.3.1.** A candidate who has passed a Master of Science Degree examination in M.Sc. Nursing from a recognized university with a minimum of 55 % marks in aggregate

##### **5.4. Faculty of Allied Medical Sciences:**

**5.4.1.** A candidate who has passed a Master of Physiotherapy Degree examination MPT from a recognized university with a minimum of 55 % marks in aggregate.

##### **5.5. Faculty of Biotechnology & Bioinformatics:**

**5.5.1.** A candidate having passed Master Degree examination from a recognized university, i.e., (M.Sc. or M. Tech.) Degree from any branch of Science related to Biotechnology & Bioinformatics such as Chemistry / Biology / Life Sciences / Microbiology / Biotechnology, Bioinformatics, Plant & Environmental ,Pharmacy, Agriculture Science, Pharmaceutical Science etc with a minimum of 55% Aggregate Marks.

**5.6. Faculty of Management:**

- 5.6.1.** A candidate having passed Master Degree Examination in Management or Business Administration or Management related subjects with a minimum of 55 % marks from a recognized university in aggregate.
- 5.6.2.** The fellow members of the Institute of Chartered Accountants and/or Institute of Cost & Works Accountants of India or of Institute of Company Secretaries of India shall be eligible, provided that they possess a Bachelor Degree of any statutory University with a minimum 55% marks in aggregate. Such candidate should have at least 5 years professional experience.
- 5.7.** Application for research in inter-disciplinary areas and from applicants belonging to a faculty or a subject other than the faculty or subject in which the research is proposed to be done and also from the international students, who do not fulfill the eligibility criteria given in from 5.1 to 5.6, as applicable, shall be considered on the basis of the proven ability and aptitude for researcher as evidenced by his/her publications/ research work/academics.
- 5.8.** 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 Vidyapeeth from time to time.
- 5.9.** A candidate who have cleared the M. Phil. Course work with at least 55% marks in aggregate of its equivalent grade 'B' in the UGC-7 point scale or an its equivalent grade in a point scale, wherever, grading system is followed and successfully completing M. Phil. Degree shall be eligible to proceed to do research work relating the Ph. D. in the same Institution.
- 5.10.** A person whose M. Phil. dissertation has been evaluated and the viva voce is pending may be admitted to the Ph.D. programme of the same Institution;
- 5.11.** Candidates possessing a Degree considered equivalent to M. Phil. Degree of an Indian Institution, from a Foreign Educational accredited by an Assessment and Accreditation Agency which approved, recognized or authorized by an authority, established authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational Institutions, shall be eligible for admission to Ph.D. programme.

## **6. Duration of the Programme :**

Ph. D. programme shall be for a minimum duration of three years, including Course work and a maximum of six years. The actual term of selected Ph. D. scholar shall be deemed to start from the date of provisional Registration.

However, the same may be further extended for maximum periods of two years, being one year at a time, after submission of valid justification by the Ph. D. scholar and by paying prescribed fees as determined by the Vidyapeeth, from time to time. After the extended periods, no further extension shall be granted, and if the Ph. D. scholar wishes to pursue the Ph. D. course thereafter, then he shall have to register again as fresh candidate, following the due procedure, including the Ph. D. Entrance Test.

Provided that candidates with more than forty percent disability may be allowed a further relaxation of two years during Ph. D. course, in the maximum.

Provided further that, women candidates may be granted Maternity Leave or the Child Care leave up to 240 days once in the entire duration of the Ph. D. course, in addition to the relaxation referred above.

Normally, a candidate shall be required to complete his research under the direct supervision of his guide or Research Supervisor. However, a candidate who is a full time teacher or the person in service, shall be permitted to complete the research work at his college or place of his duty or appointment. In such condition, it shall be mandatory for such teacher candidate or person in Government / Private Service to work at least 180 days in the full tenure of the Ph. D. course, by way of leave / Vacation / deputation, etc. under direct supervision of his guide or research Supervisor before submission of the final thesis. The certificate from the Guide or Research Supervisor regarding mandatory attendance of the Ph. D. scholar, along with signature of Head of Institution shall be pre-condition for submission of final thesis through the Institution.

Notwithstanding anything contained in this Ph. D Regulation or in any other Rule or Regulation, for the time being in force, the Vidyapeeth shall not conduct Ph. D Programme through distance education mode.

## **7. Procedure for Admission to Ph.D. Degree**

**71.** There shall be an All-India based admission through an Entrance Test after publication of advertisement at least in two National News papers of which at least one shall be in the Marathi News paper and also on the Vidyapeeth website.

**72.** A candidate shall submit an application to the Registrar in the prescribed format available at the Vidyapeeth website together with the processing fee, within the stipulated time furnishing the following information:-

7.2.1. NOC from the HOD and Head of Institute concerned should be enclosed (Appendix – A)

7.2.2. Incomplete application received by the Vidyapeeth shall be rejected and no correspondence shall be entertained by the Vidyapeeth.

7.2.3. The Entrance Test shall consist of two papers and personal interview as viva voce on research proposal .

Pattern of questions as stated bellow

	<b>Particulars</b>	<b>Marks</b>	<b>Duration</b>
Paper - I	MCQs of 1 Mark on Research Methodology (Common for all Students)	50	1 Hour
Paper - II	(a) 30 MCQs of 1 Mark each and	30	1 & ½ Hours
	(b) 4 Short Notes of 5 Mark each (Pertaining to Specialization)	20	
	<b>Personal Interview / viva voce</b> on research proposal etc.	50	20 Minutes
	<b>Total</b>	<b>150</b>	

(\*) There shall be separate sub-sections for each Faculties such as Medical, Dental, Nursing, Biotechnology & Bioinformatics, Physiotherapy, Management etc.

The qualifying criteria of securing marks for the Ph. D. Entrance Test shall be minimum 50% aggregate marks for the candidates belonging to open Category and minimum 45% aggregate marks for the candidate belonging to the reserved category in the Entrance Test, to be eligible for the admission.

7.3. Detailed Research Proposal (8 copies) containing introduction; review of literature and lacunae in knowledge; aims and objective of the study; plan of work; materials and methods; hypothesis and anticipated outcome references; Questionnaire if any, be submitted at the time of Personal Interview



**7.4 Declaration of Result of Entrance test :**

The result of the Entrance Test will be displayed on Vidyapeeth website normally within 30 days

**7.5 Submission of Ph. D. Registration Form & Allocation of Research Guide:**

After declaration of Entrance Test result qualified candidates are required to submit registration form along with registration fee as prescribed by the Vidyapeeth within two weeks.

**7.6** After receipt of Registration form, Vidyapeeth shall inform the names of the candidates along with their specialty to the Dean of the respective faculty for allocation of the guide within 7 days . The Dean of respective faculty and Head of the Institution of the College shall inform the Vidyapeeth by allotting the guide within 7 days

**7.7.** The allocation of Research Guide for a selected research scholar shall be decided by the Vidyapeeth depending on the number of scholars per Research Guide, the available specialization among the Research Guide and research interests of the scholars as indicated by them at the time of interview / viva voce.

**7.8.** All Registration forms received from the candidate at the Vidyapeeth shall be forwarded along with the list of guide allotted to the concerned Head of the Institute for further process such as conduct of Institutional Research Advisory Committee and Institutional Ethics Committee within 10 days

**7.9.** Applications of the candidates shall be placed before a Institutional Research Advisory Committee, constituted by the Head of the Institution, including the Guide, Dean/Director/Principal, Dean of the Faculty and two experts depending on the broad areas of research. The Committee shall examine the credentials of the research topic and review the research proposal. **(Appendix-B)** Further, the Committee shall ensure the clearance of the proposal from the Institutional Ethics Committee and/or Animal Ethics Committee, whichever is applicable. If the Committee prima facie finds the applicant qualified and suitable, will make recommendations to the Vidyapeeth for Provisional Registration.

**7.10.** The recommendations of the Institutional Research Advisory Committee and Ethical Committee shall be placed before the Research & Recognition Committee (R&R Committee) within next 15 days. The eligible applicant shall be required to make a

brief presentation before R & R Committee. The R & R Committee shall approve the selection of the topic and appoint, in case of inter-disciplinary subjects, Co-guide/s recognized by this Vidyapeeth or, in special circumstances, by any other recognized University.

**7.11.** If the presentation is unsatisfactory, the proposal shall be rejected and the applicant may submit a fresh proposal within 15 days and make a presentation again if he/she so desires, within one month as notified by the Vidyapeeth.

**7.12.** After the approval of the title and synopsis by the Research and Recognition Committee a provisional admission letter will be issued. (**Appendix-C**) After clearance of Pre-Ph. D. examination, a conformation of Ph. D. Registration will be issued. However, the actual term of the candidate shall be deemed to start from the date of Provisional registration. The candidate has to submit joining report at the Institution by paying prescribed annual tuition fee for the Ph. D. registration. If the candidate failed submits his joining report and prescribed fee within 15 days, it is assumed that the candidate is not interested in the Ph. D. registration. Ph. D. registration deemed to be consider as cancelled. Communication in this regard shall be issued by the Head of the Institution and with information to the Vidyapeeth.

## **8. Eligibility criteria for Research Guide/Supervisor, Co-Supervisor:**

The Eligibility criteria of Ph. D. for Research Guide for Research Supervisor for all faculties under Health and Allied Sciences along with other Disciplines shall be as under”

1. For Medical Faculty, any full time regular teacher who has minimum fifteen years teaching experience in the capacity of as Assistant Professor and above, after obtaining a Post graduate degree, out of which minimum ten years as a Post Graduate recognized teacher in the concerned subject or allied subject and should have published at least five Research Papers in the National or International Indexed Journals.
2. For the Dental Faculty, any full time regular teacher who has minimum ten years teaching experience in the capacity of as Assistant Professor and above, after obtaining a Post graduate degree, out of which minimum five years as a Post Graduate recognized teacher in the concerned subject or allied subject and should have published at least five Research Papers in the National or International Indexed Journals.
3. For the faculties of Biotechnology & Bioinformatics, Nursing, Physiotherapy, Management, Professor of the Vidyapeeth having minimum 5 years teaching/professional experience at executive level after obtaining doctorate degree,

with at least five research publications in refereed journals and regular Associate / Assistant Professor of the Vidyapeeth with a Ph. D. degree and at least two research publications in refereed journals may be Recognized as research guide.

Provided that in areas/disciplines where there is no or only a limited number of referred journals the Vidyapeeth may relax the above condition for recognition of a person as Research Guide with reasons recorded in writing.

4. Only a full time regular teacher or employee of the Vidyapeeth can act as a Research Guide / Supervisor. The external supervisors are not allowed. However Co-Supervisor can be allowed in inter-disciplinary areas from other Departments of the same institute or from other related institution with the approval of the R & R Committee.
5. In case of topics which are of inter-disciplinary nature where the Vidyapeeth feels that the expertise in the Vidyapeeth has to be supplemented from outside, the Vidyapeeth may appoint a research guide from the Vidyapeeth itself, who shall be known as the Research Guide / 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 Institutions/Colleges.
6. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
7. The approved or recognized Ph. D. Guide or Research Supervisor of the Vidyapeeth shall be eligible to Guide or Research Supervisor Ph. D. Scholars till he attains the age of seventy years, or as prescribed as may be the Vidyapeeth or respective Central Council, from time to time.
8. A candidate may work under any recognized research guide of the Vidyapeeth, except relatives such as husband / wife / daughter / son / brother / sister/son –in-law/daughter-in-law/Nephew etc.
9. In case of relocation of an 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 guide and the institution for the part of research already done.

## 9. Application for Ph. D. Research Guide

Any eligible teacher intending to become Ph. D. Guide or Research Supervisor shall apply in the format at **(Appendix-D)** along with the required documents. Through the Dean or Principal or Director of the constituent College / Institution.

### Change of Guide or Research Topic:

1. Once the Ph. D. scholar is registered for Ph. D. course, the change of research guide or Research supervisor shall not normally be permitted.
2. In an exceptional case, change of guide or Research supervisor may be allowed with the No objection Certificate (NOC) in the form in **(Appendix –E)** of the earlier guide or Research Supervisor and consent of the new guide or Research supervisor. Both the No objection Certificate (NOC) and the consent letter in the form in **(Appendix – F)** shall be endorsed by the respective Dean or Principal or Director of the College or Institution. The same shall be kept before the Research & Recognition Committee for its approval.
3. The circumstances in which for change of Guide or Research Supervisor may be allowed are ; -
  - a) if the Guide or Research Supervisor is unable or not available to Guide, the student, for a period of more than one year, for any reason whatsoever.
  - b) if a conflict arises between Guide or Research Supervisor and student due to any reason, in such case, the No Objection Certificate (NOC) of earlier guide or research supervisor may not be required if in the opinion of the Dispute Redressal Committee of the Vidyapeeth the same is not necessary.
  - c) A 'no objection certificate' will not be required if the student establishes the non-availability of his guide due to death/ retirement/left college by the original guide. The student's contention will have to be endorsed by the Head of the college /institute.

## **10. Cancellation of Guide or Research Supervisorship :**

Recognition granted by the Vidyapeeth to the Ph. D. guide or Research Supervisor shall be automatically stand cancelled, for the following reasons, namely :

1. In case of his/her superannuation, resignation, termination or dismissal.
2. if, at any stage it is found that the information or documents submitted by the recognized Guide or Research Supervisor, for recognition are transpired to be forged, false or fabricated.
3. if any Ph. D. guide or Research Supervisor creates obstacle in the smooth functioning of the Vidyapeeth or any authority or committee of the Vidyapeeth.

## **11. Composition of Institutional Research Advisory Committee and its functions**

1. The Institutional Research Advisory Committee shall be constituted as follows
  - (a) The Dean / Director / Principal of the Institute / College - Chairman
  - (b) The Dean of the Faculty - Member
  - (c) Two subject experts from the College / Institute - Member
  - (d) Guide of the student - Member
  - (e) Ph. D. coordinator of the Institution - Coordinator
2. The committee shall primarily advice to the provisionally registered Ph. D. scholars on the topic of Thesis in consultation with the Guide / Research Supervisor. The committee shall ascertain whether the topic is appropriate or valid for the purpose of Ph. D. research work
3. The committee may give suggestions to the Ph. D. Scholar on the topic selected by him / her and advice him / her –
  - a) to review the research proposal and finalize the topic of research and forwarded the same to the Vidyapeeth for approval of Research & Recognition committee.
  - b) To guide the research scholar to develop the study, design and methodology of research and identify the courses that he may have to pursue.
  - c) To review periodically and assist in the progress of the research work undertaken by the research scholar.

4. A research scholar shall appear before the Institutional 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 **Institutional** Research Advisory Committee to the Vidyapeeth with a copy to the researchscholar. **(Appendix-G)**
5. 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 Vidyapeeth with specific reasons for cancellation of the registration of the research scholar.

## 12. Pre-Ph. D. Course :

- 12.1 The registration of candidates for Ph. D. programme shall be consider as provisional till such time the candidate successfully completes Pre-Ph.D. course work of one semester duration. (six months)
- 12.2 The structure of pre Ph. D course work shall be documented by each of the institutions and disseminated to the Research Scholar
- 12.3 The course work is compulsory. All candidates shall have to attend the Pre-Ph.D. theory course regularly. After issuance of the provisional registration letter from the Vidyapeeth, the requisite Pre-Ph. D. course fee should be paid by the candidate in the College/Institute.
- 12.4 After completion of Pre-Ph.D. course, the scholar has to appear for the Pre-Ph.D. examination. The research scholar shall secure minimum 50% marks in each Paper and 55% marks in the aggregate to be considered eligible to proceed with the research work and 50% marks in the case of SC/ST/OBC (non-creamy layer) candidate

### The Pattern of Pre-Ph.D. Examination

1. Paper I Research Methodology and Biostatistics - 50Marks
2. Paper II Recent Advances in the concerned specialty - 50marks
3. Paper III Presentation & Discussion - 50 Marks  
(Relevant to the Research topic for Ph. D.)

- 12.5 If any research scholar fails to qualify in the Pre-Ph.D. Course Examination, the candidate should undergo the course for a further period of six months. At the end of the said period, he/she shall be examined again, if found fit, he/she shall be permitted to proceed with the research work.

- 12.6 A research scholar who does not qualify even at the second attempt shall not be permitted to continue his/her research work and his/her provisional registration shall be cancelled by the Vidyapeeth without any further reference to the candidate.
- 12.7 Generally the Pre-Ph.D. examination shall be held twice in a year.
- 12.8 Pre – Ph.D. course which will not be required, who has qualified UGC / CSIR (JRF) / SLET / NET / SET / Teacher Fellowship Holder / 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.

### **13. Submission and Evaluation of Thesis**

#### **Submission of Thesis**

1. Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the College / Institute before the Institutional 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 synopsis/thesis in consultation with the Institutional Research Advisory Committee, the candidate shall be eligible to submit the final thesis.
2. The candidate shall submit four hard copies of the final Thesis along with two compact disks containing soft copies in PDF format, and 10 copies of the summary of the thesis along with a Certificate for successful Pre- submission seminar, before Institutional Research Advisory Committee along with a covering letter by the head of the Institution.
3. The thesis shall be typed in Arial or Times New Roman font, in the font size 14, in one & half spacing on A – 4 size paper. It shall be well bound. Spiral binding Thesis shall not be accepted.
4. The prescribed fees for evaluation shall be paid by the candidate at the time of submission of his Ph. D. thesis. The thesis shall include Certificate from the Research Guide or Research Supervisor and a declaration from the Ph. D. scholar as well as the Guide stating 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 the citation or examples quoted. The thesis shall also include a Certificate of the guide and a Declaration by the candidate (**Appendix-H**) that there is no plagiarism.

5. 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 for Plagiarism. In case of Plagiarism, the Ph. D. scholar shall be liable to be punished by way of withdrawal of the thesis and Ph. D. Degree even if already awarded.

13.1 Ph.D. scholars shall publish at least one (1) research paper in Refereed journal and make two paper presentations in conferences/seminars before the submission of the Ph. D thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints, before the submission of Ph. D. thesis.

13.2 The candidate shall be allowed to submit his/her thesis after the completion of a period of two months and before six months from the date of submission of the synopsis, failing which the candidate will have to pay the late fee as decided by the Vidyapeeth from time to time for late submission. Late submission of thesis shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier. The candidate shall have to give a fresh seminar and submit a revised synopsis, if given extension.

#### **14. Appointment of Examiners :**

14.1 The process of the appointment of examiners shall be started soon after the candidate submits his/hersynopsis.

14.2 The guide of candidate submit a panel of fifteen examiners (referees), six from within State, six from out of State and three from out of country, along with their C Vs.

14.3 The examiners shall be appointed by the Vice Chancellor from a panel of at least nine names, prepared by a Committee consisting of the Dean of Faculty (Chairman), the Head of the Institute, and an external expert, Ph. D. Coordinator and Registrar (DPU) – Member Secretary .

14.4 The thesis shall be evaluated by three examiners (referees), including the supervisor (internal examiner). The two external examiners who are not in employment of the Vidyapeeth of whom one examiner may be from outside the country.



- 14.5 The Controller of Examinations shall communicate each examiner, by e-mail or by post or by telephonic communication or by any means as approved by the Vidyapeeth. It shall be mandatory for the Examiner to communicate acceptance or non acceptance of his appointment to the Controller of Examinations. If no communication is received from the examiner within a period of two weeks from the date of communication, it shall be treated as cancellation of his appointment and the Vidyapeeth shall appoint another examiner from the existing panel of examiners.
- 14.6 In case of acceptance of examiner-ship for assessment, the Controller of examinations shall forward the thesis along with summary thereof to such examiners
- 14.7 The respective Examiner shall independently send his thesis assessment report, to the Controller of Examinations within sixty days from the date of receipt of the thesis. If any examiner fails to do so, the Controller of Examinations shall, immediately, after the expiry of the said period, request him to submit the report within a period of fifteen days. If the concerned examiner fails to comply 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. In case of request for the late submission of the report or late 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 in the matter.
- 14.8 The examiners shall submit the thesis assessment report and shall make one of the following recommendations, namely :-
- a) the thesis is acceptable for the award of the Ph. D. degree
  - b) that the thesis is acceptable subject, to revision of certain points as suggested by the Examiner.
  - c) The thesis is not acceptable, in which case the examiner must mention precise reasons in writing, for the non-acceptance.
- 14.9 In the case of suggestions by the examiner(s), the candidate shall advised to revise the thesis, in the light of points raised in the thesis assessment report and to re-submit it to the Vidyapeeth, within the period of one month for its further submission to the examiners who have suggested the changes. The examiners shall re-submit their report.
- 14.10 If both the External examiners recommend for acceptance of the thesis for the award of the Degree, the thesis shall be accepted and it shall be processed for Open Viva Voce and Defense of the thesis.

14.11 In case, out of the two external examiners one of the external examiner have given an unfavorable or non-acceptance or rejection report. Then the Vice-Chancellor shall get the thesis examined by an additional examiner, from the panel of examiners. If the additional examiner also gives an unfavorable or non - acceptance or rejection report, the candidate shall be deemed to be failed and it shall be informed accordingly to the candidate and then the registration of the candidate shall be declared ineligible for the award of the Degree.

## **15. Open Viva Voce and Defence of the Thesis**

On receipt of the positive recommendations reports from two external examiners for the award of Degree, the Institute shall arrange for the candidate's Open Viva Voce and Defence of the thesis.

The Chairman for the Open Viva-Voce shall be appointed by the Vice Chancellor.

The intimation of positive recommendation of two external examiners shall be communicated to the Head of the Institute for the purposes of the arrangement of the Open Viva Voce and Defence of the thesis, at the earliest. The date of Open Viva Voce and Defence of thesis shall be determined in consultation with the nearest External Examiner. The Controller of Examinations shall make the reports available to the external examiners atleast 3 days before the date of the Open Viva Voce and the Defence. It shall be the duty of the Head of the Institute to circulate the notice of Open Viva Voce and Defence of the thesis stating the research Topic of the thesis to the other Department, at least 48 hours before the Open Defence to enable other faculty members and candidates to attend the same.

The day, date, time and place for the Open Viva Voce and the Defence of the thesis shall be notified by the Head of the constituent college / institute at least eight days in advance. The Open Viva Voce and the Defence of the thesis shall be arranged in the Institute / College.

15.1 The defence of the thesis shall take place in the presence of the internal examiner, one external examiner and the chairperson, who shall jointly evaluate the performance of the candidate. It shall be open to be attended by Members of the Institutional Research Advisory Committee, all faculty members of the Department, other research scholars and other interested experts / researchers.

15.2 If neither of the external referees is able to be present at the time of the defence, the Vice-Chancellor, on the recommendation of the guide and the Dean concerned shall appoint a senior research guide to act as an examiner for the defence of the thesis. In case the internal examiner is not available, the Vice-Chancellor shall appoint one of the

relevant senior research guides on the recommendation of the Head of the constituent college /institute.

- 15.3 The Ph. D. scholar shall make a presentation of his thesis, covering the background objectives, methodology, results or outcome and the conclusions of his study. The examiner and those attending the Open Viva Voce and the Defence, may participate, by asking relevant questions. The questions those may be asked during the Viva Voce shall be of constructive type, non-teasing in nature and shall led to logical discussion on the topic of the thesis. No member of the audience shall have right to comment on the acceptability or non-acceptability of the thesis for the award of the Ph. D. Degree. The examiners shall adjudge the answers given by the scholar to the queries of the audience and examiners appropriately consider it, while preparing the report. The decision of examiners shall be final and binding in respect of the query raised by the audience.
- 15.4 The final consolidated report about the award of the Degree shall be submitted to the Controller of Examinations by the Chairman after the defence is over. His submission shall be specific and it shall contain recommendation for the award of the Degree, or a fresh Viva Voce, after a specified time, if the performance of the candidate is not satisfactory.**(Appendix-I)**
- 15.5 In case, the Open Viva Voce and the Defence 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 Open Viva Voce again, after the period of one month before the same examiners.
- 15.6 The overall result of the Open Viva Voce and Defence of the thesis shall be decided under notification by the Controller of Examinations within seven days from the date of receipt of the acceptance on the Defence of the thesis The Controller of Examinations shall issue a Provisional Degree Certificate to the scholar, specifying the Degree has been awarded in accordance with the provisions as prescribed by the Vidyapeeth, and the UGC Regulations .
- 15.7 The Registrar shall issue a Notification regarding eligible for award of Ph. D. Degree.
- 15.8 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. The hardcopy and soft copy of the thesis shall be deposited to University Library, and concerned Ph. D. Research Centre shall maintain one copy at its level.

**16. Depository with Information and Library Network (INFLIBNET) Centre :**

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

**17. Interpretation and Power to Modify :**

Any doubt or dispute arising out of the interpretation of these Rules and Regulations shall be referred to the Vice Chancellor, whose decisions shall be final and binding. Notwithstanding all that has been stated in the above rules and regulations the Vidyapeeth has the right to modify any of the above regulations from time to time with prospective or immediate effect.

**18. 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, or the dispute regarding admission or any other dispute concerned with research work, the Redressal Committee consisting of the following, shall examine the matter after hearing both the parties and report to the Vice Chancellor, whose decision shall be final, namely –

- |     |   |                    |
|-----|---|--------------------|
| (1) | The Dean of the concerned faculty                               | - Chairman         |
| (2) | One subject Expert, to be nominated by the Vice Chancellor      | - Member           |
| (3) | One member of Academic Council nominated by the Vice Chancellor | - Member           |
| (4) | Registrar   | - Member Secretary |

## Major steps involved in Ph. D. procedure

1. Advertisement for Ph. D. Entrance Test
2. Conduct of Entrance Test.
3. Declaration of Entrance Test Result within 30days
4. Qualified candidates should submit registration form along with registration fee to the Vidyapeeth within two weeks.
5. After last date of receipt of registration form, Names/forms send to respective Deans for allocation of guide, within 7 days
6. Allotment of Guides by the Dean of the Faculty within 7 days
7. Approval of guide by the Vice Chancellor within 7 days
8. Conduct Institutional Research Advisory Committee for review of Research proposal by the Institute within 10 days
9. Conduct of meeting of Institutional Ethical / Animal Committee for Ethical clearance of Research proposal by the Institute within 10 days
10. Conduct of Research & Recognition Committee for approval of research topic in which scholar has to present his research proposal by the Vidyapeeth within 15 days
11. Issuance of Provisional Registration letter by the Vidyapeeth and submission of fee & joining report by the scholar within 15 days
12. Conduct Pre-Ph.D. course by the Institute for one semester (six months)
13. Conduct of Pre-Ph.D. Examination by the Vidyapeeth
14. Declaration of the Pre-Ph.D. Examination result by the Vidyapeeth
15. Issuance of confirmation of the Ph. D. admission by the Vidyapeeth
16. Six monthly presentation of research progress report before Institutional Research Advisory Committee at the Institute
17. After completion of Research work conduct of Pre-submission seminar by Institutional Research Advisory Committee
18. Submission of synopsis through the institute along with six monthly progress report to the Vidyapeeth
19. Submission of thesis along with evaluation fee and two Indexed Research Publications in the journals recognized by the U G C to the Vidyapeeth
20. Appointment of Examiners by the Vidyapeeth within 15 days
21. Evaluation of thesis by the Examiners within 60 days
22. Conduct of Open defiance Viva Voce by the Institute and declaration of result by the Vidyapeeth within 15 days
23. Declaration of the Result by the Controller of Examinations with 7 days
24. Issuance of Notification by the Registrar and Provisional Certificate by the COE within 7 days
25. Submission of soft copy of Ph. D. thesis to Inlibnet
26. Award of Degree by Vidyapeeth at convocation

**Appendix – A**

**No objection Certificate from the Institute**

To,  
The Registrar,  
Dr. D. Y. Patil Vidyapeeth,  
Pune –411018

Sub : No Objection Certificate for joining Ph. D. Course

Sir,

Mr./Ms./Dr. ----- who is working in (name of the  
College/Institute/University/Laboratory) as ----- is applying for  
Ph. D. Course for the Academic Year ----- This Institute have no objection for the  
same. We are pleased to forward his / her application for admission to fulltime Ph. D. programme at  
Dr. D. Y. Patil Vidyapeeth, Pune.

Date:

Signature of the Head Institute

Place:

Name :

Designation :

## Appendix - B

### Format of Submission of Synopsis for Approval of Research Topic

The synopsis for the Ph.D. work shall contain the following points:

- (A) The proposed synopsis for the research should be self-contained and should cover the rationale for carrying out the research. (A research proposal is a sort of blueprint of the thesis. Every effort made under it should be beneficial to the society at large.)
- (B) The synopsis of the proposed research shall contain following headings :
  - (1) Title of the Research Proposal
  - (2) Selection of the topic with reasoning
  - (3) An overview of the relevant literature
  - (4) The methodology comprising
    - (a) Statement of hypothesis
    - (b) Methods of data collection
    - (c) Probable methods of data analysis.
  - (5) The chapter scheme of the proposed research work
  - (6) Selected Bibliography

The names of the researcher and the proposed guide and the topic of research should be printed at the top. Both the guide, Co-Guide, if any, and the researcher should sign the proposal.

## Appendix – C

### Provisional Admission / Registration for Ph. D. Programme

To,

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Sub: - Provisional Registration for Ph.D. Programme \_\_\_\_\_  
in the Faculty of \_\_\_\_\_

Sir/Madam,

I am happy to inform you that you have been provisionally registered for the Ph.D. Course of Dr. D. Y. Patil Vidyapeeth, Pune for the academic year \_\_\_\_\_. You are hereby informed to report at \_\_\_\_\_ within fifteen days from the receipt of this letter and submit the joining report. After successful completion of Pre-Ph.D. course with 55% average marks, your Registration will be confirmed.

Topic	
Faculty	
Specialty	
Guide Co-Guide if any	
Date of Provisional Registration	

Please note that your admission will be governed by the Rules and Regulations for the Degree of Doctor of Philosophy (Ph.D.) of Dr. D. Y. Patil Vidyapeeth, Pune and subsequent changes if made, therein from time to time.

Thanking you,

Yours faithfully,

**Registrar**

Copy to:

- 1 The Dean/Director/Principal, \_\_\_\_\_.
- 2 The Controller of Examinations, Dr. D. Y. Patil Vidyapeeth, Pune
- 3 The Finance Officer, Dr. D. Y. Patil Vidyapeeth, Pune
- 4 The Guide, \_\_\_\_\_.
- 5 The Ph. D. Coordinator
- 6 Accounts Section of the Institute



**APPLICATION FOR APPROVAL AS RESEARCH GUIDE FOR  
DOCTOR OF PHILOSOPHY (Ph. D.) PROGRAMME**

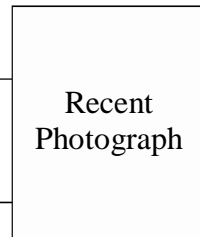
[Please (i) fill in your own handwriting (ii) Attach separate sheet wherever necessary.  
(iii) Please tick-mark ( √ ) in appropriate box]

**Appendix - D**

1. **Name : Mr./Ms:** \_\_\_\_\_  
(In **BLOCK LETTERS** as it appears in Degree Certificate)
2. **Designation :** \_\_\_\_\_
3. **Name of the College/Institute :** \_\_\_\_\_
4. **Whether the appointment as PG Teacher has been approved by :**  
(i) This Vidyapeeth (if yes, date of approval) \_\_\_\_\_ (Attach a copy)  
(ii) Any other University (if yes, date of approval) \_\_\_\_\_ (Attach a copy)
5. **Local Address:** \_\_\_\_\_  
\_\_\_\_\_ PIN: \_\_\_\_\_  
Phone No.(STD Code ) \_\_\_\_\_ Mobile No.: \_\_\_\_\_ E-mail ID: \_\_\_\_\_
6. **Permanent Address:** \_\_\_\_\_  
\_\_\_\_\_ District : \_\_\_\_\_  
State \_\_\_\_\_ Country \_\_\_\_\_ PIN Code: \_\_\_\_\_  
Phone No.: \_\_\_\_\_ Mobile No. \_\_\_\_\_ E-mail ID: \_\_\_\_\_
7. **Date of Birth:**

--	--	--	--	--	--	--	--

 8. **Place of Birth:** \_\_\_\_\_  
**D D M M Y Y Y Y**  
(Please attach appropriate certificate)
9. **Gender:** Male  Female



### 10. Academic Qualifications

Level of Exam.	Degree	Year of Passing	College / Institute	University	Subject	Class / Division
Graduation						
Post-Graduation						
Ph.D.						
Others						

### 11. Teaching Experience

Classes	Designation	College / Institute	Subject	Experience	
				From	To
Under Graduate					
Post-Graduate					
Others					

### 12. Employment Details

Sr. No.	Designation	College / Institute / Organisation / Insustry	Experience	
			From	To
1				
2				
3				
4				

### 13. Research Experience (\*)

	College / Institute / Organization	Subject / Area of Research	Year
(i) Doctoral			
(ii) Post Doctoral			
(iii) Other			

(\*) Experience after receipt of the Qualifying Degree

**14. Details of Publications**

No. of peer-reviewed Papers / books:  
(Papers in abstract form or only presented at seminars, etc., should not be included.)

<b>Sr. No.</b>	<b>Title of the Research Paper / Book (with names of co-author/s, if any)</b>	<b>Journal / Publication</b>	<b>Year of Publication</b>
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

15. **Subject and Faculty in which recognition is sought :** (i) Subject \_\_\_\_\_

(ii) Faculty \_\_\_\_\_

16. **Professional Experience :** Place \_\_\_\_\_ from \_\_\_\_\_ to \_\_\_\_\_



**DECLARATION**

**I declare that the information provided by me in this form is true to the best of my knowledge.**

**Signature of the Applicant**

**ENDORSEMENT OF THE HEAD OF THE DEPARTMENT**

**Head of the Department**

**ENDORSEMENT OF THE HEAD OF THE INSTITUTE**

**Head of the Institute**

**ENDORSEMENT OF THE RESEARCH & RECOGNITION COMMITTEE**

**Chairman, R & R Committee**

## **INSTRUCTIONS / NORMS FOR GRANTING APPROVAL AS RESEARCH GUIDE**

For being a Ph.D. Guide, a person must have –

(a) For Medical faculty –

Full time regular teacher who has minimum 15 years teaching experience in the capacity as Assistant Professor and above after obtaining a Post Graduate degree, out of which minimum ten years as a Post Graduate recognized teacher in concerned subject and should have published at least five Research Papers in the National or International Indexed Journals.

(b) For Dental faculty –

Full time regular teacher who has minimum 10 years teaching experience in the capacity as Assistant Professor and above after obtaining a Post Graduate degree, out of which minimum five years as a Post Graduate recognized teacher in concerned subject or allied subject and should have published at least five Research Papers in the National or International Indexed Journals.

(c) For Biotechnology & Bioinformatics / Nursing / Physiotherapy / Management Faculties –

Professor of the Vidyapeeth having minimum 5 years teaching/professional experience at executive level after obtaining doctorate degree, with at least five research publications in referred journals and regular Associate/Assistant Professor of the Vidyapeeth with a Ph. D. degree and at least two research publications in referred journals may be recognized as research guide.

(d) A teacher/researcher may guide students till he/she completes 70 years of age.

**Appendix – E**

**No Objection Certificate from the earlier Ph. D. Guide for the Change of Guide**

I, Dr. \_\_\_\_\_ Designation \_\_\_\_\_  
hereby state that, I have no objection for change of guide in respect of (Ph. D. student) \_\_\_\_\_  
\_\_\_\_\_ who is prosecuting Ph. D. research  
work under my guidance.

Date :

Signature  
Name  
Name of the Research Institute

**Appendix – F**

**Consent of the New Guide/Research Head of the Research Institute**

I, Dr. \_\_\_\_\_ Designation \_\_\_\_\_  
hereby state that, I have submitted willingness in respect of (Ph. D. student) \_\_\_\_\_  
\_\_\_\_\_ prosecuting Ph. D. research work under another guide who  
has submitted No Objection Certificate (NOC) for the change of guide.

Ph. D. Scholar Name & Signature

Signature of Guide

Name of Guide

Signature of the Head

## Appendix - G

### Six Monthly Progress Report

1. Name of the Student :
2. Date of registration :
3. Whether the candidate is attending Pre-Ph.D. Course regularly or He has Completed his Pre-Ph. D. course  
In case of No give reasons : Yes/No
4. Name of the Guide :
5. Name of the Co-Guide :
7. Title of the Work :
8. Period of Report (6 monthly) :
9. Details of the work done :  
(give details in brief, regarding literary review, pilot work, presentation of papers, publication of papers, details of attended workshops /seminars/ conferences related to research topic, completed clinical work stages, stages of completed laboratorial works, attendance at department/institute etc.)

Signature of the Student

Signature of the Guide

Signature of the Co-Guide



**Appendix - H**

**Declaration by the Candidate and Guide/Research Supervisor**

I Dr./Mr./Ms. \_\_\_\_\_ hereby declare that my final thesis  
entitled .....  
.....  
.....  
.....  
..... has been prepared under the supervision  
and guidance of Dr.....If at any stage, it is found or  
reported that the material quoted/referred in my thesis is copied from any other source/researcher  
and found that I have indulged in PLAGIARISM, I shall be held solely responsible for such an act  
and the Vidyapeeth shall withdraw Ph. D. Degree even if awarded or shall not process my thesis for  
further evaluation and examination, as the case may be.

Place: \_\_\_\_\_ Signature and Name of Candidate

Date: \_\_\_\_\_

**Counter-signed by the Guide/Research Supervisor of the Student**

Place: \_\_\_\_\_ Signature and Name of Guide

Date: \_\_\_\_\_





**Appendix - I**

**Consolidated Report of the Referee on the Viva Voce and Defence**

The viva-voce and defence of Mr. /Ms. ....

was conducted on..... (day and date). The

Performance of the candidate was satisfactory / unsatisfactory.

We have conducted the open defence of this Ph.D. thesis entitled: .....

.....

.....

.....

in Dr. D. Y. Patil Vidyapeeth, Pune – 411 018 on ..... The performance

of the candidate was satisfactory / unsatisfactory. We recommend that he / she be awarded the

Ph.D. Degree / the viva voce be arrange again on .....

.....

(Guide)

.....

(External Referee)

.....

(Chairman)

## Certificate from Guide / Research Supervisor

This is to certify that, the thesis entitled -----  
has been prepared by Dr./Mr./Ms-----under  
my direct supervision and guidance, in partial fulfillment of regulations for the award of the degree  
of Doctor of Philosophy (Ph.D.) in the subject of -----under the faculty of -----  
-----  
---

I have checked his/her work on the subject from time to time. I am satisfied regarding the authentication of his observations, clinical material and experimentation in this thesis and it conforms to the standards of Dr. D. Y. Patil Vidyapeeth, Pune. His/her six monthly progress reports are satisfactory in nature and have been submitted to the Vidyapeeth, as follows, namely -

1 First Report No. ----- dated -----	2 Second Report No. ----- dated -----
3 Third Report No. ----- dated -----	4 Fourth Report No. ----- dated -----
5 Fifth Report No. ----- dated -----	6 Sixth Report No. ----- dated -----
7 Onwards	

I have great pleasure in forwarding it to the Dr. D. Y. Patil Vidyapeeth, Pune.

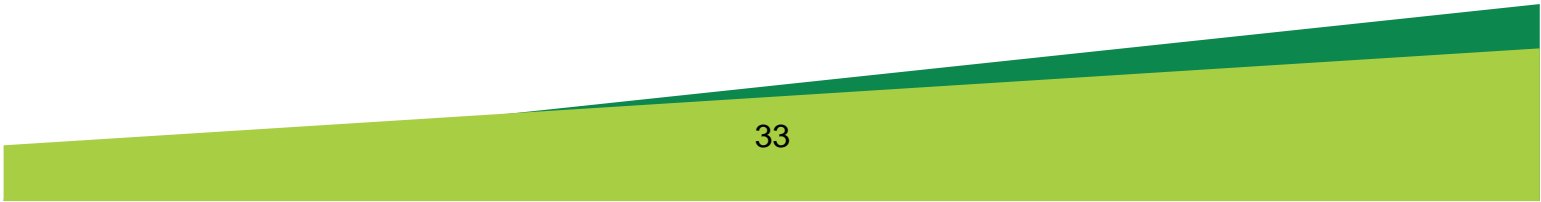
Date :

Place :

Signature and Name of Guide/ Research Supervisor

Signature and Name of Co-Guide/ Research Supervisor

(To be submit at the time of Pre-submission seminar before Institutional Advisory Committee)





**DPU**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**(Deemed to be University)**

**(Re-accredited by NAAC with a CGPA of 3.62 on a four point scale at 'A' Grade)**

**(An ISO 9001 : 2008 Certified University)**

Sant Tukaram Nagar, Pimpri, Pune - 411 018, Maharashtra, India.

Tel. No. : (020) 27805000, 27805001 Fax (020) 27420010

E-mail : [info@dpu.edu.in](mailto:info@dpu.edu.in), [www.dpu.edu.in](http://www.dpu.edu.in)

