

Atal Bihari Vajpayee Medical University

Uttar Pradesh



PhD Program Guidelines

NAME OF TITLE OF DEGREE

The Doctor of Philosophy (Ph.D.) degree awarded by Atal Bihari Vajpayee Medical University, U.P. (ABVMU, UP), shall be titled as '**Doctor of Philosophy of ABVMU, UP**'.

The certificate of award of degree shall state the Faculty and title of the Thesis.

GUIDE/CO-GUIDE

Eligibility Criteria of Guide

a) Medical Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD/ Post Graduate degree (MD/MS/DNB/MCh/DM), with minimum of eight years teaching / research experience after Post Graduation, in the respective subject, with at least ten original research publications as first or corresponding author in peer-reviewed (PubMed, Scopus, WOS) journals.

b) Dental Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD/ Post Graduate degree (MDS), with minimum of eight years teaching / research experience after Post Graduation, in the respective subject, with at least ten original research publications as first or corresponding author in peer-reviewed (PubMed, Scopus, WOS) journals.

c) Nursing Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD degree in respective subject, with minimum of ten years teaching experience after Post Graduation, in the respective subject, with at least ten original research publications in peer-reviewed (PubMed, Scopus, WOS) journals.

d) Para-Medical Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD degree in respective subject, with minimum of ten years teaching experience

after Post Graduation, in the respective subject, with at least ten research publications in peer-reviewed (PubMed, Scopus, WOS) journals.

Scientist/ Faculty working at Research Institutions, having an MOU with the University, with five years of research experience after being awarded the degree of PhD and at least ten original research publications as first or corresponding author in peer reviewed (PubMed, Scopus, WOS) Journals.

In case of any PhD application at least one of the co guide from the institution must be eligible to become guide. This is to ensure continuity of PhD, in case guide is not able to continue guiding the candidate.

Eligibility Criteria for Co-guide(s):

a) Medical Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD/ Post Graduate degree (MD/MS/DNB/MCh/DM), with minimum of five years teaching experience after Post Graduation, in the respective subject, with at least five research publications as first or corresponding author in peer-reviewed (PubMed, Scopus, WOS) journals.

b) Dental Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD/ Post Graduate degree (MDS), with minimum of five years teaching experience, after Post Graduation, in the respective subject, with at least five research publications as first or corresponding author in peer-reviewed (PubMed, Scopus, WOS) journals.

c. Nursing Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD degree in respective subject, with minimum of five years teaching experience after Post Graduation, in the respective subject, with at least five research publications in peer-reviewed (PubMed, Scopus, WOS) journals.

d. Para-Medical Faculty:

Any full-time Faculty of the University/ affiliated College, with a PhD degree in respective subject, with minimum of five years teaching experience after Post Graduation, in the respective subject, with at least five research publications in peer-reviewed (PubMed, Scopus, WOS) journals.

Age Limit:

Faculty members with less than 3 years of service before superannuation shall not be allowed to take new research scholars as Guide. However, they will be allowed to continue as a Guide for the already existing candidates doing PhD work under them, for the allowed period for the candidate to complete the PhD course.

- i. In case the guide moves away/ superannuates or proceeds on long leave/ deputation (for more than 12 months) then the candidate through guide shall inform university (through proper channel) to make alternate arrangements (preferentially among one of the co – guides).

Number of Research Scholars with a Guide

Any faculty can Guide up to a maximum of 4 PhD scholars and Co-Guide up to a maximum of 4 PhD scholars at a given point of time. However, maximum of 2 PhD scholars can be enrolled under a Guide/Co-Guide in a given year.

Registration of Guide/ Co-Guide

1. ABVMU, UP shall circulate a proforma to all affiliated colleges, for obtaining the requisite information from each institute, every year.
2. The proforma will elicit the essential information about the faculty who are proposed as Ph.D. guides/ co-guides.
3. Accordingly, the number of seats shall be allotted to a particular college.

Responsibilities of Guide/Co-Guide

1. The Guide/ Co-Guide(s) shall be responsible for guiding the academic progress of the PhD student throughout the period of study.
2. The Guide shall sign all the papers, declarations, certifications, authentications, data record/ logbooks and other related documents pertaining to the registration, submission of Synopsis/Abstract and Thesis of the registered PhD student, when duly submitted.
3. To sign and forward the progress reports to ABVMU.
4. The responsibilities of guide include:
 - a. Regular contact with the Ph.D. scholars, and discuss to see if the ideas are good for the research project.
 - b. Guiding the scholar about the choice of relevant courses and conferences related to the field.
 - c. Advising the scholar for contacting relevant national and international organisations in the area of research.
 - d. Assisting the scholar on incorporation of knowledge dissemination element in the course of study.
 - e. Regular review and feedback on the PhD project.
 - f. Preparation of the final statement from guide summarizing the overall PhD programme at the time of PhD thesis submission.
 - g. Active participation in the assessment and PhD open viva-voce.

Assignment of Guide/Co-Guide

1. Assignment of Guides will be primarily as per candidate's preference. The candidate will select a Guide/Co-Guide(s) according to their area(s) of interest / area of specialisation commensurate with the Guide/Co-Guides.
2. The candidate has to get no objection certificate (NOC)/consent from the Guide/Co-Guide, to act as Guide/Co-Guide for the candidate to be registered for the PhD programme.
3. Candidates for PhD should be working for PhD directly under either the Guide or Co-Guide (s).
4. The Guide/Co-Guide should not be spouse or first-degree relative of the PhD student.

ADMISSION OF STUDENTS TO THE PhD PROGRAMME

ELIGIBILITY FOR ADMISSION TO PhD PROGRAMME

a. Faculty of Medicine:

i. Medical Qualification

An MBBS Degree with minimum of 55% marks (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules)

AND

MD/MS/DM/MCh in the subject concerned OR equivalent Diplome of National Board of Examination degree. The degree should be recognized by National Medical Commission.

ii. Non-Medical Qualification

Candidates holding a Master's degree (Two Year Full-time Degree Course), awarded by Indian Universities or equivalent, in the subject of Ph.D., with minimum of 55% marks in aggregate or equivalent grade (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules.)

b. Faculty of Dental Sciences:

BDS degree with minimum 55% aggregate marks (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules time to time.

and

MDS degree {with minimum 55% aggregate marks (relaxation of 5% marks or its equivalent grade may be allowed for those

belonging to SC/ ST/ OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules in the subject concerned OR equivalent Diplome of National Board of Examination degree. The degree should be recognized by Dental Council of India.

c. Faculty of Nursing

Candidates holding M.Sc. degree with minimum of 55% aggregate marks in Nursing Speciality will be eligible for Ph.D. admission in College of Nursing (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules). The degree should be recognized by Nursing Council of India.

d. Faculty of Para Medical Sciences

Candidates holding Master's degree with minimum of 55% aggregate marks in Para Medical Speciality will be eligible for Ph.D. admission in College of Paramedical Sciences (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (Non creamy layer)/ PwBD, economically weaker section (EWS) and other categories of candidates as per rules.

ADVERTISEMENT FOR SEATS

An advertisement for admission will be published once every year

Admission to the Ph.D. program shall be once every year. All vacant seats shall be advertised. The last date of joining shall be mentioned.

1. Reservation policy as per U.P. Government rules shall be followed.
2. Reservation shall be applied for Government Colleges only as per Rules for UP domicile students.

SOURCE OF FUNDING (For Full time PhD Candidates)

1. Applicants having their fellowship / projects funded from recognized Government agencies.

OR

2. **Guide having a Funded Project:** For funded projects (from recognized Government agencies/ Institute) that can support the fellowship and/ or project of the student) for a minimum of 2 years. Guides of such students will ensure that the students apply for further extension/ grant of fresh funding for the projects, to ensure that the Ph.D. studentship remains funded throughout the duration.

OR

3. The Institute/ College shall give an undertaking to support the fellowship and/ or research project of the student for a minimum of 3 years.

METHOD OF SELECTION

1. ABVMU shall conduct an entrance test.
2. The said entrance test for PhD program shall comprise of 2 parts:

PART 1: Aptitude test (100 Marks) – Qualifying test*

PART 2: Interview – to be conducted by university for final selection

*Candidates who have a fellowship from UGC/ CSIR/ICMR/DST/DBT/CST/JRF/SRF etc. through National level examinations are exempted from entrance test. Such candidates can directly appear for interview.

Minimum qualifying marks of 55% in the aptitude test are required to be eligible for interview. (relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ ST/ OBC (Non creamy layer)/ Differently abled,

economically weaker section (EWS) and other categories of candidates as per rules)

1. Admission to Ph.D. course shall be subject to availability of research funds/ fellowship/ grant from recognized funding agencies.
2. After the entrance examination result are declared, a merit list of qualified candidates will be made.
3. A minimum of five-member committee to be constituted by Hon. Vice Chancellor, will hold the interviews.
4. Subsequently a list of selected candidates shall be released by ABVMU.
5. The result of selection will be valid for one year from date of declaration of result.
6. It shall be responsibility of the candidates to apply for registration through ABVMU recognized guide through proper channel.
7. Selection letters will be issued after verification of all documents/fellowships/funding etc.
8. A candidate who has been declared selected but is awaiting award of funding from any recognized Government agencies/ Institute will be issued admission letter only after funding is secured. He/ She may do so within the next one year.

Additional requirement for PhD (Part time candidate)

- a. The candidate for PhD as a part-time candidate can be from one of the following categories:
 - i. Permanent Academic staff/Teaching faculty/Scientific staff/Research staff of Institutions affiliated to ABVMU with at least three years of teaching/research experience after post-graduation.
 - ii. Permanent Academic staff/Teaching faculty/Scientific staff/Research staff of other Universities, other Government recognized agencies, other higher educational institutions, Research & Development Laboratories under Government of India/ State Government, other Research Organisations/ under Government of India or State Government, with at least 3 (three) years of teaching/ research experience after post-graduation.

- b. The candidate for PhD as a part time has to get NOC from the Head of Institution/ agency where the candidate is employed stating that the candidate is permitted to do part-time PhD (in the same Institution or another Institution) and will be permitted to complete the course related requirements in another Institution, if applicable.
- c. It is the responsibility of candidate to ensure the completion of coursework.
 - i. Ph.D. candidates will have to identify a faculty member in the same or other Institution / College, who is eligible and willing to be the guide. An acceptance of the guide is also to be attached with the application.
 - ii. The faculty members, who have registered as Ph.D. candidates shall not be eligible to guide/ co-guide of any other Ph.D. candidate, till the time he/ she completes his/ her Ph.D. However, they can continue to be the guide of MD/MS/MDS/MSc/ DM/ MCh etc. students in the department.

Admission and Registration

1. Each selected candidate, for PhD, shall be issued with an admission letter by the University.
2. A candidate who has been selected for admission may take admission by paying the required fee and fulfilling such other requirements as per the admission rules and other relevant Rules and Regulations of the University.
3. A candidate for PhD who wishes to take admission shall do so within four weeks of the notification of selection list for admission to the PhD programme.

Coursework and Topic Presentation:

1. The candidates for PhD would be required to give a presentation on the proposed topic of research before the Doctoral Research Committee along with the Guide, within first six months.
2. A full time PhD candidate is not allowed to take up any other course or employment simultaneously.
3. The PhD candidates shall be required to attend mandatory coursework as defined by ABVMU. There shall be two online courses - Research &

Publication Ethics AND Research Methodology. Additionally, two physical workshops will be conducted by ABVMU.

DOCTORAL RESEARCH COMMITTEE

1. There will be a Doctoral Research Committee (DRC) at ABVMU, to monitor the progress of students registered for the PhD programme.
2. The DRC constituted by Hon. Vice Chancellor will comprise of
 - a. Convenor: Dean of concerned faculty at ABVMU
 - b. Three experts from related field, nominated by Hon. Vice Chancellor.
 - c. The Guide and/ or Co-Guides (optional), shall be special invitee for DRC meeting of the student/s.
3. The DRC shall meet six monthly to monitor the progress of PhD work.
4. A meeting of the DRC should be held within three months of qualifying the Foundation course examination.
5. The DRC shall approve the Thesis topic, hypothesis, objectives and work plan.
6. Progress report (proposed activities and timeline) submitted by the student, through guide, will be discussed by the DRC and necessary recommendations will be recorded. Thereafter, the recommendation of the committee will be forwarded to Hon. Vice Chancellor for approval.
7. If the PhD student fails to appear/fails to present the progress before the DRC, the duration of the course will be extended beyond the minimum period prescribed.
8. In case the progress of PhD candidate is unsatisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the PhD candidate fails to implement these corrective measures, the DRC may recommend the cancellation of registration of PhD candidate from the programme.

RESPONSIBILITIES OF PhD COORDINATOR (Concerned Faculty Dean)

Concerned Faculty Dean shall be coordinator for PhD Program for that Faculty.

The PhD Coordinator shall be the responsible officer for PhD programmes. The PhD Coordinator shall,

1. Coordinate timely constitution and scheduling of meetings of the Doctoral Research Committee.
2. Maintain the records of the reports/minutes of the Doctoral Research Committee.
3. Maintain progress records of coursework for each PhD student and the pre-PhD course completion reports.
4. Facilitate the conduct of entrance examination for PhD, through Controller of Examinations of ABVMU.
5. Facilitate the conduct of examination at the end of first year (after course work) through Controller of Examinations of ABVMU.
6. Organize the bi- annual review and pre-submission presentation by the PhD students at the University
7. Organize the pre-submission seminar
8. Organize the conduct of viva voce/ open defence at the end of PhD course, through the Controller of Examinations, ABVMU.

Coursework for PhD Programme

1. Each student granted registration for PhD shall do prescribed coursework, during the first year.
2. Year-end examination: At the end of the 1st year there will be an examination consisting of two papers of three hours duration and a Protocol/Methodology Approval Presentation.
3. The examination will be conducted by the Controller of Examinations, ABVMU.
 - a. Paper I - Research Methodology & Academic Writing, Bio-Statistics, Social Science, and Research Ethics —100 Marks.
(The syllabus for the Paper I, prepared by the University, will be common to all PhD students).
 - b. Paper II - Core Paper on the concerned speciality related to research—100 Marks.
(Syllabus for the Paper II approved by the concerned Faculty Dean will be submitted to the Academic Council for approval)

4. Supplementary examination will be held after 3 months of main examination.
5. The registration of those who do not pass in year-end/supplementary examinations, in a total of four attempts, shall be cancelled.

DURATION OF COURSE

1. The duration of PhD course is the time period from registration till the submission of thesis.
2. The minimum period for regular candidates shall be three years and a maximum period shall be six years, including coursework.
3. For part-time PhD, the minimum period including the time spent for coursework shall be four years and the maximum period six years.
4. Extension of period beyond six years may be granted for a period of one year on recommendation of Doctoral Research Committee, and approved by Hon. Vice Chancellor, ABVMU, UP. A further extension of one year may be given on case-to-case basis on recommendation of Doctoral Research Committee, and approval of Hon. Vice Chancellor, ABVMU, UP.

ASSESSMENT OF WORK OF THE CANDIDATE

1. The candidate shall send the progress of his/ her work to the DRC every six months through Guide.
2. The Doctoral Research Committee, shall convey the assessment report in writing/ by email to guide, of the candidate (Satisfactory / Unsatisfactory), and should also advise the candidate about his/her shortcomings.
3. In case any two consecutive reports submitted by the candidate are graded as unsatisfactory, the committee, may warn the candidate and give one more chance to improve within next six months. In case the candidate's work remains unsatisfactory even at the end of next six-month period, his/ her registration for PhD program will be cancelled.

PRE-SUBMISSION SEMINAR

To be eligible to appear in pre-submission seminar, the PhD student should satisfy the following requirements:

- a) Have at least one presentation of the PhD Research work in a National/International conference/seminars.

AND

- b) Have at least two Research articles from his/her PhD research work published/accepted for research publication in peer reviewed, indexed scientific/professional Journals.
1. The candidate shall submit a request for holding a pre-submission Seminar, duly signed by the guide and co-guide/s (if any) to the DRC.
 2. The PhD student shall present the work at a pre-submission seminar before the DRC. The suggestions that come up during the seminar shall be suitably addressed while preparing the final summary and the Thesis. The pre-submission seminar shall be initiated by the University through Faculty Dean (Convenor of the DRC).
 3. If the presentation made by candidate is not approved by the DRC, then he/she will have to present another pre-submission seminar before the DRC within six months for approval.
 4. The candidate will have to submit the final thesis with summary within six months of approval of pre-submission Seminar by the DRC. In case the candidate fails to submit the final thesis within six months, then he/she will have to present the pre-submission seminar again.

SUBMISSION OF SUMMARY AND THESIS

Requirements:

- i. The candidate should have presented the research work in a pre-submission seminar and the same should be approved by DRC.
- ii. Prescribed fee remitted to the University for final submission of Thesis.

Submission of Thesis:

1. The candidate shall submit one printed copy (on both sides of the paper) and one e-copy of the thesis in English, along with a summary in 500 words, to the Dean, Research and Development plus ensure uploading on 'Shodh Ganga'. The published matter should be incorporated along with the thesis. PhD guide and co-guides will give a written certificate stating that the thesis is the original work of the candidate conducted under his/her supervision and they have original raw data and consent forms.
2. Two qualifying publications must be appended to the thesis.
3. While submitting for evaluation, the research scholar shall submit an undertaking and a certificate from the guide attesting to the originality of work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma in any institution. A plagiarism report generated by specific software should be attached. It is imperative that the guide and Doctoral Committee ensure that the submitted thesis is plagiarism free, before submission.

THESIS EVALUATION:

1. A panel of not less than 10 examiners (Associate Professor and above) from outside the University, along with their consent shall be forwarded by guide to the Doctoral Research Committee.
2. The COE will take confirmation of their acceptance to evaluate the thesis.

3. Thesis submitted by the PhD student for the award of the PhD degree shall be examined by two examiners, appointed by the Hon. Vice Chancellor ABVMU.
4. The examiners will be given four weeks to submit the evaluation report.
5. The Controller of Examinations, shall forward the reports received from examiners, in sealed cover, to the candidates through respective guides only if corrections/ modifications are required.
6. The candidate shall incorporate all the corrections/suggestions (if any), and resubmit one copy of the final version of the Thesis, forwarded by Guide and Co-Guide/s (if any), in hard bound form and one soft copy (in pdf format; to be uploaded on ABVMU portal), within six months. The Guide shall certify that the corrections /suggestions (if any) were incorporated.
7. The COE, in consultation with the respective faculty dean and external examiners, shall fix the date for an open viva-voce examination, if the candidate is found eligible.
8. After the open viva-voce examination, the recommendations shall be sent to the COE for declaration of result with approval of the Hon. Vice-Chancellor.
9. A candidate for PhD, who is not successful in an open viva-voce examination, may be permitted to undergo the open viva-voce examination for a second time, within a period of three months.

NOTE: When examiners differ in their opinion while evaluating the Thesis

- a. If both the examiners have accepted the thesis, the thesis shall be accepted for viva-voce/open defence, by the University.
- b. In case, both the examiners have rejected the thesis, the Thesis shall be rejected by the University.
- c. In case one of the examiners has rejected the thesis, then the thesis will be sent to a third examiner for evaluation. If the third examiner accepts the thesis, it will be deemed accepted.
- d. In case, two out of three examiners have rejected the thesis, the thesis shall be rejected by the University.

PUBLICATION OF THESIS

1. The multiple components of research embodied in the Thesis may be published in research journals, in part (at pre-submission stage, as submission requirements) or full (after awarding PhD Degree) or in the form of monograph or book with proper acknowledgement to the University & affiliated institution where the research work has been conducted.
2. All the publications related to thesis, will show affiliation to all of the following:
 - A) ABVMU
 - B) Affiliated Institution/s
 - C) Guide & Co-Guide(s)

Appendix

1. List of registers and documents to be kept by the Guide
 - a. Logbook: The PhD student shall maintain a record, as approved by Guide, in a prescribed format of important matters connected with the course and research work and its progress.
 - b. The Guide shall maintain a record, in a prescribed format of important matters connected with the course and research work and progress of the PhD students.
 - c. A copy of the Registers with Documents pertaining to the registration of the PhD students.
 - d. List of Synopsis/Abstract of the registered candidates for PhD under the Guide.
 - e. Copy of Thesis of candidates who have completed the PhD under the Guide.
2. List of registers and documents to be kept by the Institute
 - a. The record, in a prescribed format of important matters connected with the course and research work and progress of the PhD students.
 - b. Registers with Documents pertaining to the registration of PhD students.
 - c. List of Departments recognised by the University for PhD.
 - d. Attendance register of candidates registered for PhD through the Centre of Research.
 - e. Research Protocol of the registered PhD students.
 - f. Synopsis/Abstract of the Thesis of PhD students who have completed PhD.
 - g. Copy of Thesis of candidates who have completed the PhD Thesis.
 - h. Copy of Publications of candidates who have successfully completed PhD.
3. List of registers and documents to be kept by University
 - a. List of PhD students with details in different Institutions.
 - b. List of Institutions with details of Departments approved.
 - c. List of 'Research Supervisors (PhD Guides)' with details.
 - d. List of PhD students with details including fees remitted.
 - e. List and details of PhD holders from the University.