



# BLDE UNIVERSITY

[Declared as Deemed-to-be- University u/s 3 of UGC Act, 1956 vide Government of India notification No. F.9-37/2007-U.3(A)]

The Constituent College

## SHRI B. M. PATIL MEDICAL COLLEGE, HOSPITAL AND RESEARCH CENTRE

BLDEU/REG/Ph.D./2016-17/2081

January 20, 2017

### NOTIFICATION

Sub: Revised Syllabus for Pre-Ph. D. Course Work.

Ref: 1.UGC (Minimum Standards and Procedures for Award of M. Phil. / Ph. D. Degree) Regulations, 2016 and subsequent amendments of the same from time-to-time.

2. Minutes of the meeting of the Ph.D. Committee of the University held on November 10, 2016 and December 01, 2016.

3. Minutes of the meeting of the BOM of the University held on September 22, 2016.

The Board of the Management of the University is pleased to approve the Syllabus for Pre-Ph. D. Course Work at its meeting held on September 22, 2016.

The revised Syllabus for Pre-Ph.D. Course Work shall be effective from the Academic Session 2016-17 onwards, in the constituent College of the University viz. Shri B. M. Patil Medical College, Hospital and Research Centre, Vijayapura.

  
REGISTRAR  
REGISTRAR

BLDE University, Vijayapura.

To,  
The Dean, Faculty of Medicine and Principal  
Shri B. M. Patil Medical College,  
Hospital and Research Centre,  
Vijayapura

Copy to:

- The Secretary UGC, New Delhi
- The Controller of Examinations
- The Chairperson, Ph. D. Committee
- The Prof. & HODs of Pre, Para and Clinical departments
- PS to the Hon'ble President
- PS to the Hon'ble Vice-Chancellor

Smt. Bangaramma Sajjan Campus, Sholapur Road, Vijayapura - 586103, Karnataka, India.



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The Constituent College

SHRI. B. M. PATIL MEDICAL COLLEGE, HOSPITAL AND RESEARCH CENTRE, VIJAYAPURA

## REVISED SYLLABUS OF Pre-Ph.D. COURSE WORK

Sl. No.	Topic	No. of Hrs.
1.	Introduction to the course	1
2.	Introduction: What is Research? Why do research? Where & How to Start: How to get an idea for research Formulation of Hypothesis Defining an objective. Justification for study requirements for a Ph.D. thesis: Component guide, subjects and animals (in adequate numbers), Clinical trials. Instruments and expertise to operate them properly, Consumables (kits,) Drugs (if any) Practical difficulties (to maintain a log book) - Research questions - <b>Research integrity</b> , Conduct of sciences, state of arts in medical research - Importance of research collaborations - Understanding of interdisciplinary, multidisciplinary & transdisciplinary research - Research Funding	6       1 2  1 1 1
3.	What is research Instrument? Validity and reliability of Research Instrument. Role of Guides & Role of Ph.D. students. - Knowledge of External & internal quality control	2   1
4.	Review of Literature: Why review literature? Sources (Books, Journals, Reviews and Monographs, Computerized search), Methods, Useful addresses. Understanding types of writing bibliography[Vancouver, Harvard style etc] How to write references Use of software in writing references How to cite an article or any published material	4+ 6 hrs hands on training
5.	Study Design: Introduction to Study designs – Quantitative and Qualitative Descriptive study design- Cross sectional Analytical study designs- Case control and Cohort Experimental study designs – RCT, Non RCT , Cross over Odds Ratio , Relative Risk Bias and Confounders Qualitative types –FDG. Group discussion , In depth interview  Strategies to eliminate errors/bias –controls, randomization, cross over	8

Smt. Bangaramma Sajjan Campus, Sholapur Road, Vijayapura – 586103, Karnataka, India.

University: Phone: +918352-262770, Fax: +918352-263303 . Website: [www.bldeuniversity.ac.in](http://www.bldeuniversity.ac.in), E-mail: [office@bldeuniversity.ac.in](mailto:office@bldeuniversity.ac.in)  
College: Phone: +918352-262770, Fax: +918352-263019, E-mail: [bmpmc.principal@bldeuniversity.ac.in](mailto:bmpmc.principal@bldeuniversity.ac.in)



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	design, placebo, blinding techniques, selection of sample: Animal studies, human studies, selection criteria. How to write Progress Report	
	What is quantitative research and qualitative research, their scope and utility in research	3
	Journal Club and Seminar presentation	1
	- Significance of Journal club & seminar during program	1
	- Critiquing an article scientifically	1
	- What is plagiarism, how to find it?	2
6.	Data Collection and Presentation : Pilot study, Types of data, scales of measurement of data (Classificatory data, rating scale, Interval Scale, ratio scale). Errors in measurement, Coefficient of variance. Sources of errors. Data collection: Methodology, Screening, Presentation of data: Tables ,Figures, Graphs and scatter plots, Bar diagram, Histogram, Pie chart, Master chart	8
7.	Sampling, Sampling techniques and Calculation of sample size ,	4
8.	Descriptive Statistics : Measures of Central tendency, Dispersion , Standard error, Coefficient of Variance, CI,	6
9.	Inferential Statistics : Parametric & Non Parametric Tests	10
10.	Inferential Statistics: Interpretation of statistical significance tests, Writing conclusions.	4
	- Knowledge on big data	1
	- Application and analysis of derived data scientifically and correlating with the work in simple terms	2
11.	Ethical Aspects: Biomedical ethics, Human experiments, Informed consent, functioning of ethical committee, application for ethical clearance, Animal experiments and ethics.	4
	- Ethical publications- norms of ICMJE, COPE, CSE regulations and act. Knowledge on Conflict of Interest during research & publications.	2
	- ICMR guidelines on biomedical research ,understanding of preparation of consent form etc relevant to the work,	8
	- Understanding ethical requirements in blinded studies, drug trials and in herbal products	

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	<ul style="list-style-type: none"> <li>- Ethical guidelines in genetic research and gene analysis studies</li> <li>- Understanding and application of ethical principles in research related to reproduction in humans</li> <li>- CPCSEA guidelines in handling animals in animal experiments.</li> <li>- Awareness regarding injury statement in research and compensation etc.</li> </ul>	
12.	<p>Screening of volunteers/Animals: What is screening of volunteers? How to screen? Why to screen? Data Sheet Inclusion and Exclusion criteria. Screening of animals.</p> <ul style="list-style-type: none"> <li>- Basic understanding of Knockout models in animals</li> </ul>	<p>3</p> <p>1</p>
13.	<p>Drawing Conclusions from the study, Inference, Interpretation, Limitations, Conclusions.</p>	2
14.	<p>Writing thesis :</p> <p>What and How to write:</p> <p>Introduction,</p> <p>Review of Literature,</p> <p>Materials and Methods, Results, Discussion, Conclusion, Summary, Tables, Figures and charts,</p> <p>Bibliography. What the examiners like to see in a thesis, Check list. Research Protocol writing: What is research protocol? What details are needed? How to write?</p> <ul style="list-style-type: none"> <li>- Art of research presentations oral and poster preparation</li> <li>- Knowledge of patents, intellectual properties , scientific impacts (citations, h-index &amp; impact factors)</li> <li>- Knowledge on indexing (Scopus / PubMed / Thomson Reuters)</li> <li>- How to write a scientific article from the existing data, modifying the drafts as per standard guidelines</li> <li>- How to publish the article</li> <li>- Understanding art and science of scientific writing</li> </ul>	<p>4</p> <p>1</p> <p>1</p> <p>2</p> <p>1</p> <p>2</p> <p>2</p>
15.	<p>Use of Computers :</p> <p>Hardware and software,</p> <p>Uses in Research: Writing protocol, data storage and retrieval, Data analysis, statistical analysis of data using Excel and SPSS, Drawing figures and graphs, Bibliography storages.</p>	<p>2+</p> <p>4 hrs</p> <p>Hands on for use of SPSS</p>

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16.	File transfers (tif, jpg, ftp, ws ftp) Introduction to Educational and Research Resources on Net: Wikipedia, JAVA applets, Educational Applets , Virtual Labs, Electronic Journals, e-books, Digital Library. <ul style="list-style-type: none"><li>- Research networking : Global perspective</li><li>- Understanding of social media pages for research update</li><li>- Maintenance of data and research related work documents for further reference. Copy right issues and ownership issues</li></ul>	4    1 1 1
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**REGISTRAR**  
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**BLDE University, Vijayapura.**

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# **BLDE UNIVERSITY**

**VIJAYAPURA**

**REGULATION FOR THE DEGREE OF DOCTOR  
OF PHILOSOPHY, Ph.D.2016  
(Amended 2015 and 2016)**

**REVISED REGULATIONS-2016**

A handwritten signature in blue ink, consisting of a stylized 'R' followed by a vertical line and a small flourish at the end.

**REGISTRAR.**  
BLDE University, Bijapur



## BLDE UNIVERSITY

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The Constituent College

### SHRI B. M. PATIL MEDICAL COLLEGE, HOSPITAL AND RESEARCH CENTRE

BLDEU/REG/Ph.D./2016-17/1682 .

October 28, 2016

## NOTIFICATION

Subject: Regulation for the Ph.D. Programme-2016-Revised

Reference: 1. UGC (Minimum Standards and Procedures for Award of M.Phil./Ph.D. Degree) Regulations, 2016 and subsequent amendments of the same from time-to-time.

2. Minutes of the 18<sup>th</sup> Ph.D. Committee meeting of the University held on July 23, 2016.

3. Minutes of the 37<sup>th</sup> BoM meeting of the University held on September 22, 2016.

The Board of the Management of the University is pleased to approve the regulations for the Ph.D. Programme at its meeting held on September 22, 2016.

The modified Ph.D. Regulation shall be effective, from the Academic Session 2016-17 onwards, for Ph.D. Programme in the University.

REGISTRAR

REGISTRAR

BLDE University, Vijayapura.

Copy to:

- The Dean, Faculty of Medicine and Principal
- The Secretary, UGC, New Delhi
- The Chairperson, Ph.D. Committee
- The Controller of Examinations
- The Prof & Head, Dept of Pre, Para & Clinical
- PS to Hon'ble President, BLDE University
- PS to Hon'ble Vice-Chancellor

Smt. Bangaramma Sajjan Campus, Dr.B.M.Patil Road (Solapur Road), Vijayapura-586103. Karnataka. India

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## BLDE UNIVERSITY, VIJAYAPURA

Ph.D. Regulations-2010 (Amended 2015)

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**NOTE:** All the forms for different applications are available in University website as well as in the Office of the Registrar, BLDE University, Vijayapura.

II



## BLDE UNIVERSITY, VIJAYAPURA

### REGULATION FOR THE DEGREE OF DOCTOR OF PHILOSOPHY, Ph.D., 2010 (Amended 2016)

#### CURRENT REGULATIONS

#### 1. PREAMBLE

The Degree of **Doctor of Philosophy** (Ph.D.) is the Research Degree of this University. In exercise of the powers conferred by article 4(i) of the MoA, the Academic Council and Board of Management of the BLDE University, Vijayapura, makes the following regulations:-

The existing regulations governing the Ph.D. programme in BLDE University need to be modified in view of the UGC Notification No. F.1-2/2009(EC/PS) V(I)(Vol-II) dated 5<sup>th</sup> July 2016, through which the UGC has issued "UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016".

Therefore, the University has deemed it fit to formulate a comprehensive set of regulations governing the Ph.D. programme under different faculties with an academic endeavor to emerge as a world class University. Further, the University included within the broad framework of UGC regulations. Hence the following regulations:

#### 2. SHORT TITLE AND COMMENCEMENT

- 2.1 These regulations shall be called "The Regulations for the Degree of **Doctor of Philosophy** (Ph.D.) of BLDE University, Vijayapur.
- 2.2 They shall come into force from June, 2010 onwards.
- 2.3 The Regulations framed are subject to modifications from time to time as decided by the Academic Council of this University.
- 2.4 This is an Amended 2016 version and each of the regulation & sub regulations will be interpreted as per the amended version.

#### 3. ELIGIBILITY

- 3.1 The Ph.D., degree shall be awarded by this University under any one of the recognized faculties of this University.
- 3.2 A recognized **qualifying higher specialty degree, postgraduate degree / diploma** is essential with a minimum of 55% of marks in the qualifying examination or a second class or equivalent in the qualifying postgraduate

degree/diploma. The qualifying degree has to be registered with the respective Councils as the case may be.

3.3 Candidates with the following qualifications are eligible for registering for the **Ph.D. (Medical), Degree.**

3.3.1 Candidates with MD / MS in different specialties recognized by Medical Council of India & its Amendments there of Candidates with super specialty degrees D.M. Doctor of medicine, and M.Ch., -Master of Chirurgiae, recognized by Medical Council of India & its amendments thereof.

3.3.2 Candidates with MD/MS, MRCP / FRCS (granted in UK on or before 11.11.1975 as per MCI Act 1956, second schedule) or equivalent Master's degree awarded by a College/University recognized by MCI are eligible to register for Ph.D. course in their subject of specialization.

3.3.3 Post Graduate Diploma in different Specialties : D.C.P., D.C H., D.O., D.Ortho, D.L.O., D.G.O., D.A. or any other postgraduate diploma recognized by Medical Council of India & its amendments there of.

3.3.4 Candidates with qualification of Diploma of the National Board, D. N.B. in specialties / superspecialties held by the of the National Board of the Examination after completion of the prescribed period for eligibility to be considered equivalent to M.D. / M.S as per the norms and approved by the MCI / Governing Council of this University as equivalent thereto.

3.3.5 Candidates with M.B.B.S. Degree recognized by Medical Council of India & with Three years of Teaching / Clinical / Laboratory Experience after the completion of the degree.

3.3.6 Basic Medical Sciences: M.Sc., (Medical / Non Medical) - Anatomy, Physiology, Microbiology, Biochemistry and Pharmacology.

3.3.7 Candidates who have done M.Sc. in Human Genetics under Medical Faculty are also eligible to register for Ph.D. course in Medical Genetics

3.3.8 The above **qualifying degrees** should be from the Faculties of this University or any other University recognized by the Association of Indian Universities, Medical Council of India, and other approved recognized Scientific Bodies of the Government of India, etc., and approved by the Academic Council / Board of Management of this University for Provisional Registration for the Ph.D., Degree.

3.3.9 The M.Sc. candidate must have at least 55% of the aggregate marks (50 % in case of SC / ST / OBC / PH candidates) in the qualifying examinations.



**Note:** These M.Sc. degree holders under category after their Ph.D (Medical/Allied Health Sciences) shall confine themselves only to provide research inputs and perform investigative procedures. They are not permitted to treat patients.

3.4 Candidates with the following qualifications are eligible for registering for the **Ph.D.(Allied Health Sciences)** degree.

1. M.Sc Zoology
2. M.Sc. Human Genetics
3. M.Sc. / M.Tech Biotechnology
4. M.Sc. Molecular Biology
5. M.Sc. Environmental Sciences
6. M.Sc Physics
7. M.Sc in Nuclear Physics
8. M.Sc in Medical Physics
9. M.Sc in Radiation Physics
10. M.Sc. M.L.T.
11. M.B.A. Hospital Administration
12. M.P.H. / M.Sc / MBA in Public Health.

#### **4. DURATION OF PROGRAMME**

##### **4.1 Full time**

The candidates registered for the Ph.D., Degree as full time research shall undergo research work for a minimum period of three (03) years including course work and maximum of Six (6) years from the date of provisional registration. These candidates shall attend the department for research on all working days, except for periods when they are allowed to visit other institution / laboratories for activities connected with his/her research for a period permitted by the concerned guide. Full time scholars are selected through Ph.D. entrance examination of BLDE University except the candidates selected through lateral entry (vide clause 6 and sub clause 6.1.).

##### **4.2 Part-time research candidate (For in house Professors)**

Heads of Department, Professors & Additional Professors who are working in any department of this University with not less than ten years of teaching experience of which five years shall be at the postgraduate level and having a minimum of three research publications either as a principal author or as a co author in any accredited journal, are eligible to register for the Ph.D., degree with or without a guide as "Part time Research Candidate". However, in case of without guide such candidates shall seek the guidance / assistance of not less than three experts in the concerned field, who shall be members of faculties not below the rank of Associate Professors and possess the qualifications prescribed by the University / MCI for being a guide. They need not go



through the scrutiny committee.

The duration will be **three years. However admission to such PhD curriculum will be after approval of Academic Council or Vice Chancellor**

#### **4.3 Part-Time Research Candidates (External)**

Notwithstanding anything contained in these regulations, candidates possessing any one of the qualifications prescribed under regulations from this University or from any other University recognized as equivalent thereto and employed as a teacher or scientist in National / State level institutions / Laboratories / Research and Development (R&D) Centres / Industries / Universities in India and abroad, with one year continuous experience as a permanent employee and who are permitted by the respective organizations for pursuing research leading to the Ph.D., degree of this University on a part-time basis while continuing in employment, may be permitted to register for the Ph.D., programme on a part time basis as external candidates. These candidates are expected to do research in their place of employment and in addition, they should undergo such course work / examination and research work as may be prescribed by the guide/Ph.D. Committee for a minimum of 45 days during the research period directly under the guide in this University. In addition to the guide from this University, they shall have a co-guide from the institution where they are employed, provided such experts are recognized as co guides for the Ph.D., by this University. In the case of non-availability of a recognized co guide in the institution, the candidate's research work shall be monitored by the Head of the institution. The co guide of the candidate at the place of employment and at this University shall submit the certificate of attendance (with dates) to the Registrar along with half yearly progress reports.

The candidates registered for the Ph.D., Degree as part time research shall undergo research work for a minimum period of four (04) years including course work and maximum of Six (6) years from the date of provisional registration.

- 4.4** The women candidate and Person with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave / Child Care Leave once in the entire duration of Ph.D. up to 240 days.

### **5. SPLIT Ph.D., PROGRAMME**

- 5.1** The split Ph.D., program is designed to provide a chance to the candidates to conduct a portion of their Ph.D., work in a recognized foreign University/Institution or a recognized Indian University/Institution with which BLDE. University has signed an academic MoU.



**5.2** The basic objective of this scheme is to develop good research relationships and future collaborative research projects and to bring the International/National Universities, Research Institutes and Industries closer with the host university through Ph.D., Programs. While eligibility, admission procedures, duration, functions of Research Advisory Committee, Research Methodology, Thesis submission and valuation of thesis will be the same for the general Ph.D., regulations, the following would be the norms and guidelines for the split Ph.D., Program.

## **6. PROCEDURE FOR ADMISSION**

- 6.1** A Candidate shall register himself / herself in this University by submitting the duly filled application form, obtained from the University along with other details for provisional registration by remitting the prescribed fees for the same. The application form may also be downloaded from the University website: [www.bldeuniversity.ac.in](http://www.bldeuniversity.ac.in)
- 6.2** The cost of the application form is the amount prescribed by this University from time to time as applicable.
- 6.3** If the application form is downloaded from the website, the cost of application form has to be paid at the time of submission for the provisional registration.

## **7. ADMISSION TO FULL / PART TIME Ph.D. COURSE BY ENTRANCE EXAMINATION**

**7.1** All other Candidates who do not fulfill the requirement for direct admission but possess the required educational qualifications shall undergo a written test & selection interview conducted by the University once in a year. No T.A. and D.A. shall be payable to candidate for attending the interview.

(University notifies admission of PhD curriculum in its website and national news papers).

- a. An Entrance Test shall be qualifying with qualifying marks as 50%. 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 (changes of Centers, if any, also be notified well in advance) at the level of the individual HEI as mentioned in clause 1.2; and
- b. An interview / viva-voce to be organized by the HEI as mentioned in clause 1.2 when the candidates are required to discuss their research interest / area through a presentation before a duly constituted Department Research Committee.



## **7.2 Direct Admission (Lateral entrance) to full time course of Ph.D.**

The candidate who fulfils one of the following requirements may be considered for direct admission to the Ph. D. after an interview held by a Committee nominated by the Vice Chancellor of the BLDE University.

- 7.2.1 A candidate who is a recipient of fellowships from government / semi-government organizations such as Indian Council of Medical Research (ICMR), Council of Scientific and Industrial Research (CSIR), UGC or DST-Inspire Fellow from DST, Govt. of India. etc. after qualifying NET/GATE examination provided he/she possesses the required educational qualifications. They will not be provided any stipend by the university.
- 7.2.2 A candidate who has been selected as Junior Research Fellow (JRF) in extramural research projects in this university from Department of Science and Technology (DST), Department of Biotechnology (DBT), Department of AYUSH (Ayurveda, Yoga, Unani, Siddha and Homeopathy), University Grants Commission (UGC), All India Council for Technical Education (AICTE), Defense Research and Development Organization (DRDO), Department of Atomic Energy (DAE) and similar national/ State level organizations provided he/she possesses the required educational qualifications.
- 7.2.3 Heads of the Departments, Professors, Additional Professors working in any Department of this University with not less than 10 years of teaching experience of which 5 yrs shall be at PG level and having a minimum of 3 publications with any authorship in accredited journals are eligible to register for Ph.D. Programme. Part-time research candidate (For in house Professors). However admission to such PhD curriculum will be after approval of Academic Council or Vice-Chancellor

## **8. PROVISIONAL REGISTRATION SESSIONS**

The Provisional Registration for Ph.D., Degree shall be made in one session during an academic year as June to August of every year.

## **9. CATEGORIES FOR PROVISIONAL REGISTRATION**

Provisional registration shall be done under the following categories as the case may be;

- 9.1 Non interdisciplinary (single discipline) category-Medical.
- 9.2 Interdisciplinary (multidiscipline) category .It includes all other candidates not

belonging to the Non-Interdisciplinary (single discipline) category.

- 9.3 Allied Health Sciences - Registration of candidates from non-medical faculty for the award of Ph.D. in the **Allied Health Sciences** subjects is as per the following conditions:
- 9.3.1 While conferring / notification of the Ph.D. degree in “Allied Health Sciences”, the topic of the thesis should be specified in the degree awarded instead of specifying the subject.
- 9.3.2 The eligible candidates under “Allied Health Sciences” can be registered with recognized guides in any of the approved departments for Ph.D. programme under BLDE University. The broader area of research proposal may be considered for selecting the guide and department for the affiliation of the candidate.
- 9.3.3 The candidates who obtain the Ph.D. degree in this category their career prospects as faculty members will be entirely depending on the basis of regulation of respective apex professional bodies.
- 9.3.4 Ph.D. degree holders under this category are not permitted to treat patients.

## **10. REQUISITES FOR PROVISIONAL REGISTRATION**

The Essential requisites for provisional registration are below:

- 10.1 Eligible Qualifications
- 10.2 Recognized Department / Institution
- 10.3 Recognized guide
- 10.4 Approved co-guide, if any
- 10.5 No Objection Certificate from the Head of the Institute (In case of External candidate)
- 10.6 Ethical Committee Clearance

## **11. PROVISIONAL REGISTRATION**

Provisional registration will be completed after the synopsis-I / Plan of Work is scrutinized by the External Peer Reviewers, Statistician, IEC/IAEC and successful completion of Pre-PhD examination.

Each Guide will send a list of 3-6 names of peer reviewers to scrutinize the Synopsis I / Plan of Work of the Ph.D. Scholar to the University. These Peer Reviewers will be at least P.G. / Ph.D. Guide and expert in the area of research / subject of the proposal of Synopsis I / Plan of Work. They must be in minimum of Associate Professor designated in any University/Institution or Scientist-E of any Govt. research Institution. The list of peer reviewers should be approved by Ph.D. committee of BLDE University.





## **12. APPLICATION FOR PROVISIONAL REGISTRATION**

- 12.1 A candidate applying for provisional registration shall furnish all the information as required in the provisional registration application form.
- 12.2 The completely filled in application form should be submitted together with the prescribed fees as mentioned in Regulation 34, before the last date of each provisional registration session.
- 12.3 The candidate shall also include SYNOPSIS-I/PLAN OF WORK in the prescribed format of BLDE University.
- 12.4 The write-up should include brief Introduction and Review of Literature, Need of the Study, Aims, Objectives, Methodology and Expected Contribution of the Research to the Scientific Knowledge and Academic growth and Development.
- 12.5 The Synopsis I /Plan of Work 'Form' should be signed by the candidate and approved and signed by the Guide/Co-guide. The Form should also be signed by Head of the Department and to be forwarded to Registrar, BLDE University through the proper channel. Candidates who fail to submit "Plan of Work- Thesis Proposal" within six months from the date of their admission, their admission stands cancelled
- 12.6 The candidate shall furnish the following information with documentary evidence:
  - 12.6.1 His / Her academic qualifications.
  - 12.6.2 Details of previous research experience.
  - 12.6.3 Full particulars of publications in indexed /accredited journals, if any
  - 12.6.4 The broad field or the interdisciplinary field in which the candidate intends to do research work.
  - 12.6.5 The subject of research, whether wholly / partly related to the main branch of knowledge chosen for the post graduation in which the candidate has qualified.
  - 12.6.6 Name of the guide
  - 12.6.7 Name of the co-guide, if any.
  - 12.6.8 Ethical Committee Clearance Certificates.



### **13. SUBMISSION OF APPLICATION OF PROVISIONAL REGISTRATION**

- 13.1. A candidate shall not directly submit the provisional registration application to this University.
- 13.2 The duly filled provisional registration application should be submitted through the proper channel.
- 13.3 The provisional registration application should be routed through the Head of the Department, the Head of the Institution and other officiating administrative authorities.
- 13.4 The Provisional Registration application should be submitted along with the payment of the stipulated fees as mentioned in Regulation 34.
- 13.5 The provisional registration application, if found complete in all aspects, shall be received by the University

### **14. APPROVAL OF THE PROVISIONAL REGISTRATION**

- 14.1 The recommendation of the Provisional Registration shall be done by the Ph.D. Committee depending on the merits of the application.
- 14.2 Provisional registration will be completed after the synopsis is scrutinized by the PhD committee.
- 14.3 The recommendation of the PhD Committee is an essential prerequisite for the provisional registration to be approved by the Vice Chancellor.
- 14.4 The candidates shall be informed through the guide about the approval of provisional registration with instructions regarding the continuation of the research work according to the norms and regulations of this University.
- 14.5 All correspondence to the University after the approval of the Provisional Registration of the candidate shall be addressed by the guide to the Registrar of this University.

### **15. NON-APPROVAL / REJECTION OF PROVISIONAL REGISTRATION**

- 15.1 The PhD Committee, after scrutinizing the provisional registration application shall suggest modifications, point out deficiencies, if any, with instructions for resubmission on the suggested lines for reconsideration and recommendation of approval for provisional registration along with a compliance report signed by the guide.
- 15.2 If the PhD Committee rejects the provisional registration application on two successive occasions, then the candidate has to submit a fresh application along with the payment of stipulated fees as mentioned in Regulation 34.
- 15.3 The PhD Committee shall complete its work and intimate the rejection within three months.



## **16. ALLOTMENT OF GUIDES**

The allotment of Supervisor/Guide shall not be left to the individual student or teacher. University will decide the allotment as per the available vacancy under an eligible research guide of BLDE University

## **17. RECOGNISED DEPARTMENTS / INSTITUTIONS**

17.1 Candidates applying for Provisional Registration shall select recognized/ approved departments / institutions of this University which are approved and recognized by the Medical Council of India and other approved Councils of the concerned faculty and other Councils which are approved by the Board of Management of this University.

Any Dept. which is recognized / permitted by MCI for M.D. / M.S. is automatically eligible to conduct Ph.D. Programme in the same Department. BLDE University may conduct a local inspection to any department who are conducting Ph.D. Programme for routine quality control.

17.2 Norms for recognition of Institutions to conduct Ph.D. programme of the University (Split Ph.D.) The partnering institution should have signed an academic MoU with BLDE University.

17.2.1 The maximum period of research that can be conducted with the partnering institution normally shall not exceed ONE YEAR.

17.2.2 The expert under whom the candidate proposes to work for the split Ph.D. Programme shall be suggested by the guide as a co-guide and shall be recognized by the University.

17.2.3 The progress report of work done by the candidate in the external institution shall be submitted to the Controller of Examinations through proper channel.

17.2.4 All financial commitments required for carrying out the research work at the partnering institution shall be borne by the candidate.

17.2.5 The degree on successful completion would be awarded only by BLDE University with a mention of the name of the partnering Institution.

## **18. RECOGNISED GUIDE**

18.1 Ph.D. in Medicine or Science having 5 years of Post Doctoral Teaching / Research experience with 2 (t) publications in any accredited indexed journal.

Any regular Professor of the University / Institution Deemed to be a University / College with at least five (05) research publications in referred journal and



any regular Associate / Assistant Professor of the University / Institution Deemed to be a University / College with a Ph.D. degree and at least two research publications in referred journals may be recognized as Research Guide.

Only a full time regular teacher of the concerned University / Institution Deemed to be a University / College can act as a Guide. The external Guide is not allowed. However, Co-Guide can be allowed in inter-disciplinary areas from other department of the same institute or from other related institutions with the approval of the Ph.D. Committee of the University.

- 18.2 Application of the Guide/Co-guide for recognition to BLDE University will be verified and recommended by Ph.D. Committee.
- 18.3 The list of recognized guides and co-guides is furnished in the University website at [www.bldeuniversity.ac.in](http://www.bldeuniversity.ac.in)
- 18.4 Further information and details about the recognized guides and co-guides can be obtained from the university office.
- 18.5 The recognized guide shall officiate up to the age of 70 years and he/she shall not enroll new candidates after the age of 67 years.
- 18.6 Enrollment of candidates for the Guides and Co-guides based on their designation: Professor- 08, Associate Professor- 06, Assistant Professor-04.

**Duties of the recognized guide are:-**

18.6.1. The guide should give the consent and no objection certificate obtained from the Dean /Principal for officiating as a guide for the candidate to be registered.

18.6.2 The guide shall sign all the papers, declarations, certifications, authentications, log books and other related documents pertaining to the registration, submission of synopsis and thesis of the registered candidate.

18.6.3 The guide shall serve as a Supervisor / Convener to interact with the University.

18.6.4 The guide shall supervise and interact with the University for the candidates who have already submitted the Thesis till a final decision is arrived.

18.6.5 The guide shall suggest to the University, and Ph.D. Committee to conduct the Part I Methodology Examination.

18.6.6 The guide shall also be the convener / Chairperson and a member of the panel to conduct the Public Viva Examination, Open House presentation etc.

18.6.7 The guide shall interact with the co-guide, who may be entrusted to





continue the research work of the candidate when he / she is not in a position to do the same under the following situations:

- 18.6.7.1 When the guide has completed 70 years and till a new recognized guide takes over.
  - 18.6.7.2 When the guide is on a long leave (three months and above).
  - 18.6.7.3 When the guide is sick or on long medical leave.
  - 18.6.7.4 Other unforeseen circumstances.
- 18.7 Till a new guide is selected and appointed with the approval of the University the co- guide shall assist the candidate in his/ her research work.
- 18.8 In case of detection of any discrepancy, conflict of interest, unethical activities, academic dishonesty etc., it is the prerogative of the University to initiate appropriate administrative and disciplinary actions that may lead to the cancellation and debarring of the guide-ship at any stage.

## 19. RECOGNISED CO-GUIDE

A person shall be recognized as a co-guide in any faculty if he / she possesses a Postgraduate Degree with at least **5 years** of teaching / research experience after P. G. qualification (MD / MS /Ph.D.) in the University department (or) in an approved affiliated Postgraduate Teaching Institution (or) in a recognized research institution of this University with minimum **3 (three)** research publications to his / her credit in any accredited indexed journal.

Candidates registered under interdisciplinary category, shall have a recognized co-guide. The recognized co-guide should sign the provisional registration application form along with his / her consent and No Objection Certificate (NOC) duly signed by the Dean / Principal of the College / Institution.

- 19.1 The recognized co-guide shall officiate up to the age of 70 years. The co-guide shall not enroll new candidates after the age of 67 years.
- 19.2 Each recognized co-guide is entitled to enroll a maximum of 8 (eight) candidates.
- 19.3 Duties of the recognized co-guide:
  - 19.3.1 The co-guide should be from the department where the registered candidate is working, in the event of the selected guide working elsewhere.

The co-guide shall provide guidance and offer professional / technical assistance to the registered candidate when the selected guide is not in a position to provide the same due to the reasons mentioned in



Regulation 10.

- 19.3.2 The co-guide is eligible to become a full recognized guide if he/she satisfies the stipulated norms, rules and regulations of this University for granting him/her recognition as a guide.
- 19.3.3 The list of recognized co-guides is given in the University web site [www.bldeuniversity.ac.in](http://www.bldeuniversity.ac.in) in case of detection of any discrepancies, conflict of interest, unethical activities, academic dishonesty etc., it is the prerogative of the University to initiate appropriate administrative and disciplinary actions leading to the cancellation and debarring of the co-guideship at any stage.

## **20. CHANGE OF GUIDE**

The change of Guide is admissible maximum six months before completion of candidate's research tenure. The change of guide may be executed in exceptional cases such as:


- 20.1 Transfer and discontinuation of service to other institutions which is not under the adjudication of BLDE University.
- 20.2 Superannuation from his service which is under maximum age limit of the University.
- 20.3 Demise of the Guide.
- 20.4 University may also take unilateral decision in change of Guide if the guide has left the institute and incommunicado and not accessible by any means of communication.
- 20.5 The Honorable Vice Chancellor may consider the change of Guide in case of any emergency/unforeseen conditions.

## **21. ETHICAL COMMITTEE CLEARANCE**

Institutional Ethical committee (IEC) clearance for experiments on human subjects will be as per ICMR, Govt. of India Guidelines (2006) and Institutional Animal Ethical Committee (IAEC) for animals will be as per the *CPCSEA guidelines, Govt. of India*.

## **22. CHANGE OF THESIS TITLE**

A Ph.D. candidate can change the title of his proposed thesis or field of research work on prior permission from the Ph.D. Committee. Changes will not be allowed six month before submission of last half yearly progress report. The permission of such change of title will be recommended by the Ph.D. Committee to the Honorable Vice Chancellor, BLDE University for his decision. In such cases candidate need not require to appear for pre-Ph.D. Exam if he/she has cleared it earlier.



## 23. Ph.D. COMMITTEE / DUTIES

A PhD Committee shall be constituted by the University.

- 23.1 It shall be headed by a Chairperson and at least 6 (six) members from various departments (pre, para & clinical) including Dean (Research). The members except 'Member Secretary' must be a Professor designated in their respective department.
- 23.2 The PhD Committee members shall be nominated by the Vice Chancellor.
- 23.3 The PhD Committee shall meet periodically (at least 6 times in a year) to study the submitted applications and address various issues pertaining to Ph.D. curriculum of the University.
- 23.4 The Ph.D. Committee shall submit a report regarding its recommendation, or otherwise, to the University.
- 23.5 The PhD Committee shall submit a report regarding its recommendation, or otherwise, to the University.
- 23.6 The PhD Committee may suggest modifications on the research proposed for resubmission.
- 23.7 All the suggestions recommended by the PhD Committee shall be placed before the Vice-Chancellor.
- 23.8 The provisional Ph.D. registration for **interdisciplinary candidates** shall be placed before the Board of Studies in Research after going through the initial PhD Committee of this University.
- 23.9 All the suggestions recommended by the Ph.D. Committee shall be placed before the Vice-Chancellor.
- 23.10 Approval / Rejection of the Provisional Registration.
- 23.11 Review of synopsis of applicants for Provisional Registration.
- 23.12 To meet periodically, to review the half yearly reports of the research work submitted by the scholars and recommend suitable suggestions /modifications, if any.
- 23.13 The Ph.D. Committee shall invite once in six months the research scholar, to present the progress of his/her research work for evaluation & further guidance.
- 23.14 If the progress of the research scholar is unsatisfactory, the Ph.D. Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Ph.D. Committee may recommend with specific reasons, the cancellation of registration of the research scholar to the University.
- 23.15 Conduction and evaluation of open house presentations of the research scholar.
- 23.16 Scrutiny of Ph.D. Guide / Co-Guide applications.



23.17 Any other functions as per the Ph.D. Regulations notified by the University from time to time.

#### **24. DOCTORAL ADVISORY COMMITTEE**

Board of Studies of each subject will act as Doctoral Advisory Committee of the Ph.D. scholar. DAC will suggest and help the candidate time to time with consultation of the Guide.

#### **25. COURSE WORK & PRE Ph.D. EXAMINATION**

The credit assigned to coursework shall be a minimum of 08 credits and maximum of 16 credits. The course work shall be treated as Pre-Ph.D. preparation as per UGC Guidelines 2016. The Ph.D. Student who fails to have minimum of 75% of attendance in Course Work will not be eligible to appear in Pre-Ph.D. Examination of BLDE University.

25.1 The University shall conduct the Pre-Ph.D. Examination for the provisionally registered Ph.D., candidates.

25.2 Pre-Ph.D. Examination will be conducted at the end of Research / Course Work and within one year from the date of Provisional Registration.

25.3 The Examination shall consist of:

25.3.1 Two written paper and Viva Voce exam will be conducted as the direction of Controller of Examination

25.3.2 The questions shall cover the following:

##### **PAPER - I: Principles of Research Methodology**

- General Research Methodology.
- Biostatistical Methods in Medical Research.
- Ethical aspects of Medical Research.
- Animal Experimentation (where applicable).
- Instrumentation (where applicable).

##### **PAPER - II: Selected Field / Subject of Research**

- History.
- Literature Review.
- Recent Advances.
- Experimental Procedures.
- Others.

In the Viva-Voce, examination, the Board of Examiner constituted by Controller of Examination shall assess the candidate's knowledge in relation to the work done by him / her up to the time of methodology examination and respective subject skills and also assess the aptitude and competence of the candidate to continue the research work.



## 25.4 Syllabus & Evaluation:

25.4.1 Syllabus for PAPER-I shall be prescribed by the subject experts selected by the university and it will be approved by the Ph.D. Committee. PAPER-II shall be prescribed by the Guide for each candidate and should also be approved by the Ph.D Committee in consultation of subject experts. The Syllabi prescribed by the Guide and Subject experts for the two theory papers of Pre Ph.D examination, shall be notified and will be communicated to the Controller of Examination.

25.4.2 There shall be double valuation of the answer scripts of Paper - I and Paper II. In case of Paper –II apart from the same examiner who have set the question paper (i.e. Guide) one more recognized Ph.D. Guide of the same subjects or an internal co-guide of the candidate (if available) should also evaluate the papers. The marks lists shall be sent by the examiners directly to the Controller of Examinations of BLDE University.

## 26. SUCCESSFUL PRE Ph.D. EXAMINATION

26.1 The candidate has to secure a minimum of 55% of the marks, both in the theory paper separately in each paper and in viva-voce, to be declared successful in the Pre-Ph.D. Examination.

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 dissertation / thesis.

26.2 A detailed report on the performance of the Pre-Ph.D. examination shall be submitted by the guide / convener to the University for further action.

26.3 In case of difference of marks between two examiners take place, University will follow its own guidelines as it follows in case of PG examination

26.4 Controller of Examinations (COE) will issue a **marks sheet** regarding the success of the Pre-PhD Examination of the candidate.

## 27. UNSUCCESSFUL PRE-Ph.D. EXAMINATION

27.1 The candidate will get maximum of five attempts as chances to clear Pre-Ph.D. Examination.

27.2 Provisional registration of the candidates will be confirmed only after they pass the Pre Ph.D. examination.





- 27.3 Candidate shall not start his/her research work until clears Pre-PhD examination.
- 27.4 He / She will not be eligible for submission of second half yearly progress report if he / she fails in Pre-Ph.D. examinations.

## **28. EXTENSION OF TIME FOR PRE-Ph.D. EXAMINATION**

- 28.1 Extension of time shall be considered only on very special circumstances, if adequately substantiated by the candidate in the application forwarded through the guide for consideration by the Vice Chancellor.
- 28.2 If extension of time is granted, then penal fees as prescribed is to be paid as mentioned in Regulation 34.
- 28.3 The maximum extension period permissible will be decided by the University in consultation with Ph.D. Committee for the conduct of the examination.

## **29. CONFIRMATION OF PROVISIONAL REGISTRATION**

- 29.1 The provisional registration of a candidate shall be confirmed on the receipt of the successful completion of the Pre-Ph.D. examination.
- 29.2 The Pre-Ph.D. Examination report shall be approved by the Vice-Chancellor of this University.
- 29.3 Intimation regarding confirmation of provisional registration shall be communicated to the candidate through the guide with a copy to the co-guide, if any, with instruction to the candidate to remit the fees for confirmation of the Provisional Registration.

## **30. CANCELLATION OF REGISTRATION**

The registration is subject to cancellation under:

- 30.1 Lack of progress as reported by the Guide and also after giving the due opportunity to the candidate for defending his case.
- 30.2 Candidates own request duly endorsed by the Ph.D. Committee.
- 30.3. If He / She does not submit the thesis within six years from the date of Registration. However a candidate may request to extend his/her submission for not more than six months from the deadline.. Application for extension of time with adequate justification may be forwarded by the Guide within the prescribed period of submission of Thesis. The same is also applicable in case of failure to submit Plan of Work (Synopsis 1). If any candidate fails for submission of Final Thesis or Plan of Work (Synopsis 1) within the grace period (6 months maximum) the candidate must be discharged immediately from pursuing Ph.D. Course.



## **31. RESEARCH WORK**

- 31.1 Provisionally registered candidates shall do original research work under the direct supervision / guidance of the guide and co-guide, if any.
- 31.2 The candidate will also utilize the services of the members of the Ph.D. Committee for the betterment of the research work.
- 31.3 Ph.D. Committee shall conduct seminars before submission of “Half-Yearly Progress Report” of the candidates to monitor and assess the quality of research work done by the candidate.
- 31.4 The candidate provisionally registered shall be required to work under the recognized guide.
- 31.5 Each candidate shall undergo courses of instructions as may be prescribed by the guide / advisory committee.
- 31.6 The university may conduct training classes, depending on facilities available, for the provisionally registered candidates covering the prescribed courses and areas of research study.

## **32. SUBMISSION OF HALF YEARLY PROGRESS REPORTS**

- 32.1 After provisional registration, every candidate shall submit the half yearly progress reports regularly in three sets in the prescribed format through the proper channel i.e. from the Guide to the Registrar of the University. The half yearly progress report after PPT presentation by candidate will be assessed by the Ph.D. Committee in consultation with the experts (wherever is necessary) and their comments/observations will be communicated to the concerned candidate and Guide. Every such half yearly report shall be submitted in the month of April and October every year (twice a year)
- 32.2 All Ph.D. candidates while submitting their current progress report, should submit the summary of each of his/her previous half yearly progress reports in order and suggestions made by the previous reviewers/subject experts. All Ph.D. candidates should submit their half yearly progress reports in the prescribed format issued by the University.
- 32.3 In case the progress of the research scholar is unsatisfactory, the PhD. Committee shall record the reasons for the same and suggest corrective measures. If the scholar fails to implement these corrective measures, the Ph.D. committee may recommend to the institution/ college with specific reasons for cancellation of the registration of the research scholar.
- 32.4 Ph.D. Scholar has to present a PPT. seminar in front of Ph.D. Committee, faculty members, PG & research scholars of the University before submission of his/her half-yearly progress report. The comments and suggestions of the



Ph.D. Committee to be incorporated in their respective half-yearly progress report.

### **33. LOG BOOK**

- 33.1 Every registered candidate shall maintain a log book.
- 33.2 The log book has to be supervised and signed by the guide / co-guide (if any).
- 33.3 The log book should be available at the time of Ph.D. Examination and at all other times as deemed by the guide / Ph.D. Committee.
- 33.4 The log book shall be maintained till the completion of the research work.

### **34. FEE STRUCTURE:** As on when notified by the University

### **35. RESEARCH FUNDING**

- 35.1 To avail research grants with various extramural/intramural funding agencies the candidate must apply through the proper channel of BLDE University.
- 35.2 Patenting Right will be as per the rules & regulation of BLDE University.
- 35.3 The research grant availed should be acknowledged with full information at the time of submission of thesis. Grant availed would be utilized as per the granting agency & university's rules regulation.

### **36. TITLE OF THE THESIS**

- 36.1 The provisional title of the thesis shall be intimated to the University at the time of submission of SYNOPSIS I / PLAN OF WORK.
- 36.2 The exact title of the thesis shall be intimated to the University during the submission of the Final synopsis (SYNOPSIS II).
- 36.3 No change in the title shall be accepted after the submission of the Final synopsis (SYNOPSIS II).
- 36.4 **Change of Thesis Title**

A Ph.D. candidate can change the title of his proposed thesis or field of research work on prior permission from the Ph.D Committee. Changes will not be allowed six month before submission of last half yearly progress report. The permission of such change of title will be recommended by the Ph.D. Committee to the Honorable Vice-Chancellor, BLDE University for his decision. In such cases candidate need not require to appear for pre-Ph.D. Exam if he/she has cleared it earlier.



## **37. SUBMISSION OF SYNOPSIS**

- 37.1 Not less than 3 (three) months before the submission of the thesis, every candidate shall submit to the Institute, through the supervisor and HOD two copies of the synopsis of the thesis, together with the title of the thesis and prescribed examination fee. The candidate shall prepare the synopsis carefully in consultation with the supervisor. The synopsis should bring out in abridged form, the aims for conducting research; work done, results, and conclusions drawn. The candidate shall make a presentation of the synopsis before the doctoral committee at a seminar in the department prior to the submission of the synopsis (2<sup>nd</sup> Open House Presentation).
- 37.2 The title of the thesis mentioned in the final synopsis or Synopsis II is the final title and the same title has to be maintained in the thesis
- 37.3 Two copies of the final synopsis II has to be submitted with the prescribed fees in prescribe format (available on website) duly filled and signed by the candidate, the Guide, Go-Guide, Head of the Department and Head of the Institution. One copy of electronic version of the Final synopsis (CD) should also be submitted along with printed versions.
- 37.4 The Final Synopsis of the thesis shall not be less than six pages or exceed ten pages, typed on A4 size paper with one and half line space. (Format is available on website & in office)
- 37.5 In case of requirement, the candidate shall submit additional copies of the synopsis on demand from the University.
- 37.6 The list of Examiners Panel will be prepared by Guide with six numbers of experts from India and abroad. Prior to submission to COE the proposed panel of adjudicators to be first submitted to Ph.D. Committee by Research Guide for its opinion. In case of need Ph.D. Committee may suggest a few names to Guide for inclusion or may advise to exclude the names from the panel. Once it cleared by the PhD Committee, Guide may submit the panel of six adjudicators to COE with confidentiality.
- 37.7 After the submission of the final synopsis and on the recommendation of the Honorable Vice Chancellor, the Controller of Examination shall contact the adjudicators from the Panel of Adjudicators by electronic and / or regular mail to seek consent.
- 37.8 The final synopsis should be submitted with the original certificates as required by the University regulations in the application.

## **38. FORMATTING OF THESIS**

- 38.1 The thesis to be submitted by the candidate should be formatted according to the University regulations.



- 38.2 Every thesis shall have 2 major components:
- 38.2.1 The certificate component
  - 38.2.2 The Research work component
- 38.3 The certificate component shall include the following;
- 38.3.1 Certification and declaration by the candidate.
  - 38.3.2 Certification of the research work by the guide.
  - 38.3.3 Certification of the research work by the co-guide, if any.
  - 38.3.4 Certificate of research work by the HOD.
  - 38.3.5 Certificate of the research work by the Head of the institution.
  - 38.3.6 Plagiarism check certificate.
  - 38.3.7 Certificate of incorporation of correction/suggestions by the guide/  
Ph.D. committee if any.
- While submitting the thesis every candidate shall submit with his/her application, a certificate from the guide/ supervisor that the thesis submitted is a record of research work done by the candidate during the period of study under the guide and co-guide, if any and that the thesis had not previously formed the basis for the award to the candidate of any degree, diploma, associateship, fellowship or other similar title together with the statement from the guide / supervisor indicating the extent to which the thesis represents independent work on the part of the candidate. If the thesis submitted has formed in part, the basis for the award of a previous research degree, the candidate shall clearly set forth in a preface or written statement the portion or portions which have formed the basis for the award of the previous degree.
- 38.4 The research work component of the thesis represents the actual research work done by the candidate under the supervision of the guide / co-guide. It should have the following;
- 38.4.1 Introduction
  - 38.4.2 Aims and objectives
  - 38.4.3 Review of literature:
  - 38.4.4 Scope and plan of work
  - 38.4.5 Materials and methods
  - 38.4.6 Results and discussion
  - 38.4.7 Summary and conclusions
  - 38.4.8 Recommendations, if any





38.4.9 Appendix

38.4.10 Bibliography (Vancouver Style)

- 38.5 The number of pages of the **text matter** in the thesis should not exceed 250 pages.
- 38.6 Annexure, Charts, Graphs, Bibliography and Attached publications are not to be numbered along with the text.

### **39. SUBMISSION OF THESIS**

- 39.1 The Ph.D. Program culminate with the submission of a thesis of a substantial work of original research carried out by the candidate under the guidance of the supervisor.
- 39.2 The candidate should have at least two (02) original research papers published/accepted for publication (evidence to be submitted along with the thesis) in peer reviewed journals (Scopus/Pubmed) before submission of the thesis. The reprint / preprint or DOI should be included in the appendix of the thesis. The published paper must be in the area of research of the Ph.D. student. The Guide or Student must be the 1<sup>st</sup> author of the article. Ph.D. student must show his/her affiliation to BLDE University in the published paper.
- Ph.D. scholars shall present at least two (02) research paper in a conference / seminar before submission of the thesis.
- 39.3 After submission of all six/ eight half yearly reports (as applicable) and after presentation and publication of Two research papers as per clause 39.2, a candidate should appear for the second open house presentation. The presentation will include entire research work of scholar. If this seminar is unsatisfactory then, under exceptional circumstances, one more opportunity shall be given for presentation of seminar, on the recommendation of Ph.D committee.
- 39.4 The candidate shall submit **five (5) copies** of the thesis in a bound form and two copies in the electronic form (read-only format) to the Examination section for evaluation by the examiners. Once the thesis gets approved the candidate shall incorporate all the corrections / suggestions, if any, and resubmit two copies of the final version of the thesis in bound form and two copies in the electronic form (CD read-only format). The supervisor and the PhD committee shall certify that the corrections / suggestions (if any) were incorporated.
- 39.5 Thesis has to be submitted within six months **after the submission of synopsis**, the period that coincides with the expiry of period of the research.
- 39.6 If the Candidate fails to submit the thesis within six months from the date of submission of synopsis one extension of three months may be given with

approval from the Hon'ble Vice Chancellor after which the process gets cancel. Then, he/she shall submit the synopsis again based on the recommendations of the Ph.D. Committee. The Guide / Supervisor, with the approval of the Ph.D. Committee shall submit a fresh list of examiners.

- 39.7 Following the successful completion of the evaluation process the announcement of the award of Ph.D. degree, the candidate shall submit an Electronic Copy (CD) of the thesis for the INFLIBNET, for hosting the same to make it accessible to all institutions/colleges. One copy of the thesis shall be placed in the University Central Library (through COE).
- 39.8 Supplementary papers to the thesis, printed copies of any contributions to the knowledge of the subject or of any cognate branch of science that may have been published in journals or periodicals may also be included along with the thesis or given as bibliography.
- 39.9 The thesis shall ordinarily be submitted not later than five years from the date of registration in the case of full-time candidates and six years in the case of part-time candidates.. Every candidates shall submit with his/her thesis a certificate from the Supervisor under whom he / she worked, that the thesis submitted is a record of original research work done by the candidate during the period of study under his/her supervision and that the thesis has not previously formed the basis for the award to the candidate of any degree, diploma, Associate ship, Fellowship or other similar titles and that the thesis represents.

#### **40. EXTENSION OF TIME FOR SUBMISSION OF SYNOPSIS / THESIS**

- 40.1 Extension of time beyond the prescribed period shall be considered and granted for genuine reasons, if adequately substantiated.
- 40.2 Applications for extension of time with adequate justifications should be signed and forwarded by the guide and submitted to the university before the expiry of the period prescribed for the submission of the synopsis.
- 40.3 Extension of time shall be considered and granted for a period of 3 months to 5 months with penal fees.
- 40.4 Further extension of time shall be considered for a period of 1 year with the approval of the Vice Chancellor with the payment of penal fees as may be prescribed from time to time and as mentioned in Research Regulations 34.
- 40.5 Extension of time beyond 2 years is not permissible, except under special circumstances with the approval of Vice Chancellor.
- 40.6 The period of extension granted covers the period for the submission of the synopsis and the final thesis as per the regulations.



#### **41. Ph.D. EXAMINERS**

- 41.1 For the adjudication of Ph.D. thesis, a board of three examiners shall be appointed by the COE in consultation with the Vice Chancellor.
- 41.2 The Guide of the candidate shall normally be the Chairman of the Board of the Examiners, who shall also act as coordinator and internal examiner.
- 41.3 However, under extraordinary circumstances, the Academic council/Vice Chancellor may appoint a chairman other than Guide from the panel of Board of examiners as per the recommendation of COE.
- 41.4 The two external members of the Board of examiners, has to be chosen by the University from a panel of examiners forwarded by the Guide and recommended by the Ph.D. Committee, at least 1 month prior to the expected date of submission of the thesis.
- 41.5 The panel shall include examiners who on the basis of their published work are acknowledged as eminent scientist in field of study under taken by the candidate.
- 41.6 One of the external Examiners should be from outside the State and the other may be from the state.
- 41.7 It shall be up to the university to have one examiner from outside of the country.
- 41.8 The supervisor / guide shall provide a certificate stating that all the examiners suggested are experts qualified to value the Thesis.
- 41.9 If the panel of six names for Ph.D., examiners is found to be inadequate, the University shall call for an additional panel of six names to be suggested by guide/ supervisor. Under special circumstances, if the additional panel is also found to be inadequate, the Vice Chancellor shall have the privilege of appointing examiners in consultation with the experts of his choice in the concerned field.
- 41.10 Once Vice Chancellor selected the names of two external examiners from the panel of examiners submitted by Guide, the COE will first communicate with them for their acceptance to examine the Ph D thesis.
- 41.11 COE also send final synopsis of the thesis by Email/and by Post to the examiners and ask them to go through it and comment on it while sending acceptance.

#### **42. ADJUDICATION OF THE THESIS**

- 42.1 The COE of the University shall ascertain from the external examiners their willingness to act as an examiner for a particular thesis a copy of the final



synopsis shall be sent to the external examiners along with this communications.

- 42.2 The examiners (2 external and 1 internal i.e. Guide) after evaluation will report their comments in the “Ph.D., thesis reporting form”.
- 42.3 The Examiners have to submit their reports within 2 months from the date of receipt of the thesis.
- 42.4 The University shall send reminders to the examiners at the end of 45 days.
- 42.5 If no report or any communication is received by the University from an examiner even after 2 months, a copy of the thesis shall be sent to the fourth examiner selected by the Vice Chancellor from the panel submitted by the Guide at the time of submission of final synopsis.
- 42.6 If the thesis is approved, each examiner shall submit questions in a sealed cover if any, which need to be asked at the time of viva-voce.
- 42.7 The whole process of thesis evaluation should not cross more than the six months from the date of submission of the thesis.

### **43. COMMENDED THESIS**

- 43.1 A total of three commended reports are absolutely essential.
- 43.2 The three commendations by the examiners may be in one instance or in subsequent instances, in case of resubmission of thesis.
- 43.3 A commended report by any examiner at any time will be considered at all times.
- 43.4 **Definite recommendations as to:**
  - 43.4.1 The research work of the candidate as advanced the existing knowledge in the subject and there for the **thesis can be accepted** for the award of Ph.D. degree in the present form.
  - 43.4.2 The thesis **can be accepted for the award of Ph.D. degree after minor correction / revisions** as suggested. (points on which revision is required as to be stated by the examiner/s).
  - 43.4.3 **The thesis should be revised and resubmitted for evaluation.** (Revision required should be stated clearly by the examiner).  
  
Ex: The research work has failed to achieve the desired standard and hence the **thesis is rejected**. (Precise reason for such rejection must be stated clearly by the examiner).
- 43.5 Important Note:
  - 43.5.1 If any two of the Examiners give definite recommendations against the award of the degree, the thesis shall be rejected. If one of the



examiners gives a definite recommendation against the award of the degree the thesis may be referred to another external examiner from the panel recommended by the Guide & Ph.D Committee. If the report of the third examiner is favorable, then the candidate shall be eligible to appear for the Viva-Voce examination and if it is not favorable, then the thesis shall be rejected.

43.5.2 If one of the examiners makes qualified recommendations with valid reasons (for eg., to resubmit the thesis after suitable modifications) the COE who will in turn intimate the candidate for resubmitting the thesis after suitable modifications within six months from the date of the communication. The resubmitted thesis will be again sent to the same examiner and the reports received thereon by the Chairman shall be communicated to the Registrar (Evaluation).

#### **44. REJECTED THESIS**

- 44.1 If the thesis is not commended by the three examiners, then the thesis is deemed as rejected.
- 44.2 The candidate can resubmit the thesis for the second time within six months to a maximum of one year by carrying out additional research work or modify the original thesis with suitable corrections and make new presentations which may enhance the quality of the thesis.
- 44.3 The resubmission of the thesis should be accompanied by the payment of the stipulated fees as decided by the University from time to time and as mentioned in Regulation 34.
- 44.4 The candidate shall not be permitted at any time to make more than two submissions of the thesis.

#### **45. PUBIC VIVA VOCE EXAMINATION**

- 45.1 A candidate whose thesis is commended by three examiners shall submit himself/ herself for a Public Viva Voce Examination.
- 45.2 The Public Viva Voce examination shall be conducted by a Board of Examiners consisting of:
  - 45.2.1 Guide / Chairperson
  - 45.2.2 Co-Guide
  - 45.2.3 At least one of the external examiners shall be present at the time of Viva Voce examination. Normally the external examiners from the India who assessed thesis of the candidate will act as the external examiner at the time of viva voce examination.





- 45.3 The Public Viva Voce Examination is open to all faculty / non faculty members in the field of research work done by the candidate. The Public Viva Voce Examination will be conducted in the institution, where the candidate conducted the research work.
- 45.4 All clarifications / questions / suggestions made by the examiners who have evaluated the thesis shall be addressed by the panel of examiners to the candidate to answer and defend his / her thesis.
- 45.5 The Board of examiners of the Public Viva Voce Examination shall report their comments and sign the “Public Viva Voce Examination Reporting Form” provided by COE, BLDE University.
- 45.6 Members of the Board of Examiners for the Viva-Voce examination shall report specifically on whether the candidate’s performance in the examination is satisfactory and therefore be considered for the award of Ph.D degree or not.
- 45.7 A successful report of the Public Viva Voce examination is essential for the final approval of the thesis.
- 45.8 A candidate who is not successful in the Public Viva Voce Examination shall be permitted to reappear for a similar examination for a second time within a period of 3 months.
- 45.9 A candidate shall not ordinarily be permitted to take the Public Viva Voce Examination, on more than two occasions.

**Note:** The Viva-Voce examination is primarily designed to test the understanding by the candidate of the subject matter of the thesis including methodology employed and his/her competence in the general field of study. Since the points raised by the examiners of the thesis are to be clarified during the Viva-Voce examination, the report of the examiners who adjudicated the thesis shall be made available to the Board of Examiners for Viva-Voce examination. The candidate shall produce all the relevant documents, materials, preparations, etc., connected with the research project during Viva-Voce examination.

#### **46. DECLARATION OF THE FINAL RESULT**

- 46.1 The Controller of Examinations shall place before the Vice-Chancellor the consolidated report received from the Board of Examiners along with the evaluation commended reports of the three examiners and the Public Viva Voce Examination report for approval and declaration of the results.
- 46.2 The successful candidate shall be notified and intimate by the COE, BLDE University once Vice-Chancellor approves the report of Ph.D. Public Viva Voce Examination.



#### **47. ISSUE OF PROVISIONAL / DEGREE CERTIFICATE**

A candidate who has successfully passed the Public Viva Voce Examination and declared/notified to have qualified for the Ph.D., degree, shall be issued Ph.D., provisional / degree certificate duly mentioning the branch / field of research / specialization (separately for Allied Health Sciences) and the guide and co-guide, if any, and the institution(s) where the candidate has carried out his / her research work.

#### **48. PUBLICATION OF THESIS**

The University encourages the student to publish any part of the thesis at any time during the course of his/her research work. In case the research work is done in the departments of this University, prior permission must be obtained from the Vice Chancellor of this University. The copyright for the research shall be jointly owned by the student and the University. The raw data may also be handed over to the University if the student is unable to publish it. The University reserves the right to publish all or part of the data, or a consolidated report from the thesis with due acknowledgements to the student and the guide.

#### **49. DISCREPANCIES, CONFLICT OF INTEREST AND DISCIPLINARY ACTIONS**

The University, with the approval of the Board of Management Council will consider individual cases with special reference to discrepancies of any nature, conflict of interest and to initiate appropriate administrative actions against the candidate, guide and the co-guide.

#### **50. THE ACT OF PLAGIARISM**

While submitting for evaluation, the dissertation / 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 less plagiarism and that 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.

All the Ph.D. scholars before submitting their Ph.D. thesis to the university should submit the soft copy of the thesis work in a CD for plagiarism check to the office of the Registrar, in the following prescribed format:

- a. It should be in a single PDF and not in a chapter-wise format.
- b. The contents of  $\leq 20$  MB, it should be in a single file and if more than 20 MB it should be in two files.
- c. It should exclude index, certificates, references, bibliography and publications.
- d. The CD should be labeled with the name of research scholar, registration number, title of the research work and should be signed by the research scholar and research guide.



- e. The prescribed fees in the form of demand draft should be submitted along with CD of thesis.

**This soft copy of the thesis will be subjected to plagiarism check:**

- The permitted similarity index is < 20%
- If the plagiarism is 20%, then the candidate is permitted to submit his/her thesis.
- If the plagiarism is >20%, the candidate has to revise the thesis and resubmit the CD as per the rules and regulations.
- Once this re-checking shows plagiarism 20% the candidate is permitted to submit his/her thesis.
- The plagiarism report has to be included in the final thesis.

**51. MODEL CERTIFICATE**

The Ph.D., Degree Certificate shall have the Faculty and the Branch specified. In case of Allied Health Sciences branch will not be mentioned only the title of the thesis will be mentioned.

**52. CHANGE OF REGULATIONS**

Academic Committee and Board of Management of BLDE University may revise, amend or change the regulation from time to time as per the recommendation of Ph.D. Committee.

  
**REGISTRAR.**  
BLDE University, Bjjapur



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**SHRI B. M. PATIL MEDICAL COLLEGE, HOSPITAL AND RESEARCH CENTRE**

BLDE(DU)/REG/Ph.D./2020-21/122

April 27, 2020

**NOTIFICATION**

On approval of the Board of Management and the Hon'ble Vice-Chancellor vide order no. 1811 dated: 27<sup>th</sup> April 2020, as per the UGC Guidelines vide reference no: D. O. No. F.1-1/2018 (Journal/CARE) dated: December 2019, the two Credit Courses for awareness about publication ethics and publication misconducts entitled "Research and Publication Ethics (RPE)" has been made compulsory for all the Ph.D. students for Pre-registration Course Work.

The Research and Publication Ethics (RPE) shall be taught as per the syllabus issued by UGC and shall be considered as a separate paper for the Course Work Examination for 50 marks for theory and 25 marks for viva-voce.

It will be effective from the Academic Session 2020-2021.

REGISTRAR  
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BLDE (Deemed to be University)  
Vijayapura-586103. Karnataka

Copy to:

- The Secretary UGC, New Delhi
- The Dean, Faculty of Medicine and Principal
- The Dean, Faculty of Allied Health Sciences
- The Dean, R&D
- The Controller of Examinations
- The Chairperson, Ph.D. Committee
- The Prof. and HODs of Pre, Para and Clinical Departments
- The Co-ordinator, IQAC
- PS to the Hon'ble Vice-Chancellor

Smt. Bangaramma Sajjan Campus, B. M. Patil Road (Sholapur Road), Vijayapura - 586103, Karnataka, India.

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**Research and Publication Ethics (RPE)**

**THEORY:**

• **RPE 01: PHILOSOPHY AND ETHICS (3hrs.)**

1. Introduction to philosophy: definition, nature and scope, concept, branches.
2. Ethics: definition, moral philosophy, nature of moral judgements and reactions.

• **RPE 02: SCIENTIFIC CONDUCT (5hrs.)**

1. Ethics and respect to science and research.
2. Intellectual honesty and research integrity.
3. Scientific misconducts: Falsification, Fabrication, and Plagiarism (FFP).
4. Redundant Publications: duplicate and overlapping publications, salami slicing.
5. Selective reporting and misrepresentation of data.

• **RPE 03: PUBLICATION ETHICS (7hrs.)**

1. Publication Ethics: definition, introduction and importance.
2. Best practices / standards setting initiatives and guidelines: COPE, WAME, etc.
3. Conflicts of interest.
4. Publication misconduct: definition, concept, problems that lead to unethical behavior and vice versa, types.
5. Violation of publication ethics, authorship and contributorship.
6. Identification of publication misconduct, complaints and appeals.
7. Predatory publishers and journals.

..2

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**PRACTICE**

• **RPE 04: OPEN ACCESS PUBLISHING (4hrs.)**

1. Open access publications and initiatives.
2. SHERPA / RoMEO online resource to check publisher copyright & self-archiving policies.
3. Software tool to identify predatory publications developed by SPPU.
4. Journal finder / journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggestor, etc.

• **RPE 05: PUBLICATION MISCONDUCT (4hrs.)**

**A. Group Discussions (2 hrs.)**

1. Subject specific ethical issues, FFP, authorship.
2. Conflicts of interest.
3. Complaints and appeals: examples and fraud from India and abroad.

**B. Software tools (2hrs.)**

Use of plagiarism software like Turnitin, Urkund and other open source software tools.

• **RPE 06: DATABASES AND RESEARCH METRICS (7hrs.)**

**A. Databases (4hrs.)**

1. Indexing databases.
2. Citation databases: Web of Science, Scopus, etc.

**B. Research Metrics (3hrs)**

1. Impact Factor of journal as per Journal Citation Report, SNIP, SJR, IPP, Cite Score.
2. Metrics: h-index, g-index, i10 index, almetrics.

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4.	<p>Review of Literature: Why review literature? Sources (Books, Journals, Reviews and Monographs, Computerized search), Methods, Useful addresses. Understanding types of writing bibliography[Vancouver, Harvard style etc] How to write references. Use of software in writing references. How to cite an article or any published material.</p>	4+ 6 hrs hands on training
5.	<p>Study Design: Introduction to Study designs – Quantitative and Qualitative Descriptive study design- Cross sectional Analytical study designs- Case control and Cohort Experimental study designs – RCT, Non RCT , Cross over Odds Ratio , Relative Risk Bias and Confounders Qualitative types –FDG. Group discussion , In depth interview</p> <p>Strategies to eliminate errors/bias –controls, randomization, cross over design, placebo, blinding techniques, selection of sample: Animal studies, human studies, selection criteria. How to write Progress Report</p> <p>What is quantitative research and qualitative research, their scope and utility in research</p> <p>Journal Club and Seminar presentation</p> <ul style="list-style-type: none"><li>- Significance of Journal club &amp; seminar during program</li><li>- Critiquing an article scientifically</li><li>- What is plagiarism, how to find it?</li></ul>	8          3 1 1 1 2
6.	<p>Data Collection and Presentation : Pilot study, Types of data, scales of measurement of data (Classificatory data, rating scale, Interval Scale, ratio scale). Errors in measurement, Coefficient of variance. Sources of errors. Data collection: Methodology, Screening, Presentation of data: Tables ,Figures, Graphs and scatter plots, Bar diagram, Histogram, Pie chart, Master chart</p>	8
7.	<p>Sampling, Sampling techniques and Calculation of sample size.</p>	4



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8.	Descriptive Statistics : Measures of Central tendency, Dispersion , Standard error, Coefficient of Variance, CI,	6
9.	Inferential Statistics : Parametric & Non Parametric Tests	10
10.	Inferential Statistics: Interpretation of statistical significance tests, Writing conclusions. - Knowledge on big data - Application and analysis of derived data scientifically and correlating with the work in simple terms	4 1 2
11.	Ethical Aspects: Biomedical ethics, Human experiments, Informed consent, functioning of ethical committee, application for ethical clearance, Animal experiments and ethics. - Ethical publications- norms of ICMJE, COPE, CSE regulations and act. Knowledge on Conflict of Interest during research & publications. - ICMR guidelines on biomedical research ,understanding of preparation of consent form etc relevant to the work, - Understanding ethical requirements in blinded studies, drug trials and in herbal products - Ethical guidelines in genetic research and gene analysis studies - Understanding and application of ethical principles in research related to reproduction in humans - CPCSEA guidelines in handling animals in animal experiments. - Awareness regarding injury statement in research and compensation etc.	4 2 8
12.	Screening of volunteers/Animals: What is screening of volunteers? How to screen? Why to screen? Data Sheet Inclusion and Exclusion criteria. Screening of animals. - Basic understanding of Knockout models in animals	3 1
13.	Drawing Conclusions from the study, Inference, Interpretation, Limitations, Conclusions.	2
14.	Writing thesis : What and How to write: Introduction,	4 1



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	Review of Literature, Materials and Methods, Results, Discussion, Conclusion, Summary, Tables, Figures and charts, Bibliography. What the examiners like to see in a thesis, Check list. Research Protocol writing: What is research protocol? What details are needed? How to write?  - Art of research presentations oral and poster preparation  - Knowledge of patents, intellectual properties , scientific impacts (citations, h-index & impact factors)  - Knowledge on indexing (Scopus / PubMed / Thomson Reuters)  - How to write a scientific article from the existing data, modifying the drafts as per standard guidelines  - How to publish the article  - Understanding art and science of scientific writing	1 2 1 2 2
15.	Use of Computers : Hardware and software, Uses in Research: Writing protocol, data storage and retrieval, Data analysis, statistical analysis of data using Excel and SPSS, Drawing figures and graphs, Bibliography storages.	2+ 4 hrs Hands on for use of SPSS
16.	File transfers (tif, jpg, ftp, ws ftp)  Introduction to Educational and Research Resources on Net: Wikipedia, JAVA applets, Educational Applets , Virtual Labs, Electronic Journals, e-books, Digital Library.  - Research networking : Global perspective  - Understanding of social media pages for research update  - Maintenance of data and research related work documents for further reference. Copy right issues and ownership issues	4  1 1 1



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## **Research and Publication Ethics (RPE)**

### **THEORY:**

- **RPE 01: PHILOSOPHY AND ETHICS (3hrs.)**
  1. Introduction to philosophy: definition, nature and scope, concept, branches.
  2. Ethics: definition, moral philosophy, nature of moral judgements and reactions.
- **RPE 02: SCIENTIFIC CONDUCT (5hrs.)**
  1. Ethics and respect to science and research.
  2. Intellectual honesty and research integrity.
  3. Scientific misconducts: Falsification, Fabrication, and Plagiarism (FFP).
  4. Redundant Publications: duplicate and overlapping publications, salami slicing.
  5. Selective reporting and misrepresentation of data.
- **RPE 03: PUBLICATION ETHICS (7hrs.)**
  1. Publication Ethics: definition, introduction and importance.
  2. Best practices / standards setting initiatives and guidelines: COPE, WAME, etc.
  3. Conflicts of interest.
  4. Publication misconduct: definition, concept, problems that lead to unethical behavior and vice versa, types.
  5. Violation of publication ethics, authorship and contributorship.
  6. Identification of publication misconduct, complaints and appeals.
  7. Predatory publishers and journals.

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## PRACTICE

- **RPE 04: OPEN ACCESS PUBLISHING (4hrs.)**

1. Open access publications and initiatives.
2. SHERPA / RoMEO online resource to check publisher copyright & self-archiving policies.
3. Software tool to identify predatory publications developed by SPPU.
4. Journal finder / journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggestor, etc.

- **RPE 05: PUBLICATION MISCONDUCT (4hrs.)**

**A. Group Discussions (2 hrs.)**

1. Subject specific ethical issues, FFP, authorship.
2. Conflicts of interest.
3. Complaints and appeals: examples and fraud from India and abroad.

**B. Software tools (2hrs.)**

Use of plagiarism software like Turnitin, Urkund and other open source software tools.

- **RPE 06: DATABASES AND RESEARCH METRICS (7hrs.)**

**A. Databases (4hrs.)**

1. Indexing databases.
2. Citation databases: Web of Science, Scopus, etc.

**B. Research Metrics (3hrs)**

1. Impact Factor of journal as per Journal Citation Report, SNIP, SJR, IPP, Cite Score.
2. Metrics: h-index, g-index, i10 index, almetrics.

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