

GUIDELINES
FOR
DEGREE OF DOCTOR OF PHILOSOPHY
(Ph.D.)

All India Institute of Medical Sciences-Gorakhpur

Kunraghat, Gorakhpur, 273008, Uttar Pradesh , India

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Preface

All India Institute of Medical Sciences (AIIMS GKP) has been established as an Act of Parliament with the goal of developing medical workforce with high standard of medical education and research facilities in various broad and sub-specialties of Medicine. The Institute is a centrally governed autonomous institution which has the mandate to provide undergraduate and postgraduate teaching, training and to conduct research in the relevant disciplines of modern medicine and other allied sciences, including interdisciplinary fields of physical and biological sciences. Being an autonomous body, AIIMS GKP is empowered to admit students, hold examinations and award degrees, diplomas and other academic distinctions to further these objectives. Towards this goal, Institute has a Doctor of Philosophy (Ph.D.) program open to medical, non-medical as well as nursing postgraduates.

The objective of the Ph.D. program is to create independent and research oriented clinicians and basic scientists who are well trained to undertake basic and applied research in the field of biomedical sciences with a translational approach. The candidates who undergoes Ph.D. training, will become well versed with research methodology and acquire the right approach to address a research question. This document has been prepared as the compendium of rules and regulations for the Ph.D. program at AIIMS GKP. These guidelines will be reviewed periodically and can be modified by the institute's regulatory committees.

RULES AND REGULATIONS EFFECTIVE FROM THE ACADEMIC YEAR 2023-2024

THE INSTITUTE OFFERS THE FOLLOWING TYPES OF Ph.D. COURSES

1. Full Time Ph.D. Course
2. Part Time Ph.D. Course
3. Dual Ph.D. Course

1. ELIGIBILITY FOR ADMISSION TO THE Ph.D. COURSE

Educational Qualifications for full time/ part-time and dual Ph.D. program

A candidate seeking admission to the course of study leading to the award of Degree of Doctor of Philosophy must possess at least one of the following qualifications awarded either by this Institute or any other University/Institute recognized by a regulatory authority such as University Grants Commission (UGC) of India, Pharmacy Council of India, All India Council of Technical Education (AICTE), Nursing Council of India and Medical Council of India (MCI) or similar regulatory authorities in the case of foreign colleges or universities.

A. Qualification for Indian Nationals

A candidate seeking admission to the course of study leading to the award of a degree of Doctor of Philosophy must possess at least one of the following qualifications:

a) **For medical candidate**, a degree of Bachelor of Medicine and Bachelor of Surgery (MBBS) with a minimum of 60% (55% in case of SC/ST/OBC/OPH candidates) of the aggregate marks in the professional examinations, or Doctor of Medicine (M.D.) or Master of Surgery (M.S.) or Doctorate of Medicine (D.M.) or Master /Magister Chirurgiae (M.Ch.) or Diplomate of National Board (DNB) of Examination or equivalent degree, recognized by the Medical Council of India.

OR

b) **For non-medical candidates**, a master's degree in Science (M.Sc.)/M.Tech. (Biotechnology) from a recognized University/Institution in Science subjects/ Health Sciences / Allied Sciences

/ Related Physical or Engineering Sciences/Master in Hospital Administration/MBA in Hospital Administration (two years course) awarded by Indian Universities or equivalent in the subject as per mentioned against each advertised Ph.D. seat. Candidate should have at least 60% marks (55 % in case of SC/ST/OBC/OPH candidates) in the last eligibility examination qualified.

Desired qualifications for non-medical candidates: Non-medical candidates should preferably have qualified in any one of the following entrance tests in the last 2 years: Joint CSIR-UGC NET for JRF, ICMR-JRF, ICMR-SRF, DBT-JRF, NBHM screening test, INSPIRE fellowship. Candidates who have qualified in above said examinations leading to award of fellowships tenable at AIIMS, Gorakhpur will be given special weightage in the entrance examination as detailed in method of selection part of guidelines

OR

c) **For nursing candidates**, a M.Sc. degree in Nursing Specialty with minimum 60% aggregate marks will be eligible for Ph. D admission in the College of Nursing. Nursing candidates may also apply under medical faculties of the institute.

Indian nationals will be eligible for fellowship, contingency or free medical facility at this Institute as per rules.

Candidates working under any Central Govt./State Govt./ Semi Govt./Autonomous organization should submit their applications through proper channel. They will be required to submit a 'No Objection Certificate' from their employer before they are allowed to join the Ph.D. course.

B. Qualification for Foreign nationals

Candidates having degree from a university outside India will be eligible subject to the condition that the equivalence of the degree is recognized by Medical Council of India / University Grants Commission for medical / non-medical candidates respectively. The qualifying marks shall be same as Indian Nationals. In addition, the candidate should have an overall IELTS band score of at-least 7 with not less than 6.5 in any of the 4 subtests or an equivalent score in TOEFL for proficiency in the English language.

Foreign nationals should send their applications through Diplomatic channels (Ministry of External affairs, Govt. of India). They will not be eligible for fellowship, contingency or free

medical facility at this Institute.

Other Conditions:

- a) Candidates possessing a Master's degree through distant learning course shall not be eligible to apply.
- b) There is no age limit for doing Ph.D.

2. CATEGORY OF ENROLMENT

The candidates under following categories can be enrolled for the Ph.D. program:

Category 1: National Fellowship/ Own Fellowship (OF): Candidates who fulfill essential qualifications and have a letter of award for fellowship and contingency by any government funding agency for a minimum period of three years.

Category 2: Extramural Project funded Fellowships: Candidates who fulfill essential qualifications as stated above AND if they are working in an extramural project funded by Government / UN agencies as JRF/SRF/ Research Assistant/Research Associate or equivalent position at AIIMS GKP. The enrollment should be done within one year of start of the project, however, if the competent authority permits, student can be enrolled even at later stages of the project. For these seats, AIIMS GKP may provide Institute's Fellowship (IF) for a maximum of 2 years, anytime during the entire Ph.D. course (within 5 years maximum registration only), to bridge any gap between fellowships within the projects; however, the decision will be totally based on the of competent authority and report of Ph.D. research monitoring committee (PhDRMC).

Category 3: Candidates having Senior Research Fellowship (SRF) or similar fellowship directly from Government funding agencies and have applied through AIIMS GKP and the work will be conducted at AIIMS GKP. The admission will be considered within one year of the sanction of the SRF by the funding agency.

Category 4: AIIMS GKP merit fellowships: Fellowships will be provided by AIIMS GKP each year by merit, based on the results of the entrance exam and interview using a common merit list of all seats. These seats will preferentially be allotted to the students who does not have their own fellowship. Fellowship of Rs. 30,000/ month will be provided to the candidate during 1st, 2nd and 3rd year, and fellowship of Rs. 20,000/month for 4th and 5th year. The fellowship will initially be for 3 years, extendable by 2 years as per recommendation of PhDRMC and approval from competent authority (the amount of fellowship may change as per the recommendation of SFC, AIIMS Gorakhpur). The performance of the students will be evaluated every 6 months by the members of Doctoral Committee for continuation of their fellowship. The PhDRMC will further evaluate the doctoral committee comments, progress of research work, comments of the guide and general conduct of the student to arrive at the decision to extend the fellowship. The candidate will be expected to apply for grants/fellowships during the first three years of his/her

Ph.D., program to have independent fellowship. Any default in the prescribed timelines for the Ph.D. program will lead to cessation of the fellowship and cancellation of registration from the Ph.D. program.

Category 5: A permanent faculty or staff of the Institute for pursuing a part-time Ph.D. program.

3. FUNDING SUPPORT FROM INSTITUTE

A funding support of up to Rupees five lakhs will be provided to the Ph.D. student (given to the Guide) for entire Ph.D. program. The funding will be utilized for the purchase of chemicals/ consumables, minor instruments, stationary items, printing of thesis, attending conferences e.t.c. The funds will be allocated based on the proposal presented before the Research Advisory Committee and Ethics Committee of the institute. The Ph.D. proposal will be finally approved for funding after recommendation of PhDRMC. The PhDRMC will also evaluate the progress of the Ph.D. work and based on the performance, the funds will be release after the submission of utilization certificate and progress report each year.

For the institutional grant the Ph.D. students must have a research topic/ objectives that shall different from any research project currently being run by the guide.

4. NUMBER OF SEATS AND PROCESS OF SELECTION

Each faculty member will be allowed to register a maximum of two students per year. The Professor may guide a maximum of eight MD/MS/DM/MCh/Ph.D. students at any time. This will include a maximum of five Ph.D. students. However, if they are guiding more than six MD/MS/DM/MCh students, they will still be eligible to guide up to two Ph.D. students, provided that they have fulfilled their UG and MD/ MS/DM/MCh responsibilities regularly. Additional Professor can have maximum of three Ph.D. students and an Associate Professor can have maximum of two Ph.D. students under them at a time (a current student will be one who has not submitted the thesis by the last date of application for seats).

After receiving notification form the Division of Research, the eligible guides can send requests to take Ph.D. student. Guides at the time of making a request for registration of Ph.D. students, must also mention the broad area of research and details of funding supports (if any) from Government /UN funding agencies. Students applying on the basis of categories 1-3 (*vide supra*) and 5, will be selected through an interview / counselling after the recommendation of concerning guide. The students of category 4 will have to undergo a written examination followed by an interview by the Ph.D. Admission Committee (members of PhDRMC and respective guides who sent their request for Ph.D. student).

5. PROCEDURE FOR ADVERTISEMENT

- a) The faculty members who are eligible to become a guide will be asked to indicate number of Ph.D. student they wish to enroll (based on point 4).
- b) The faculty members who are interested in registering the Ph.D. students will provide a brief write- up about his/her research interests and the source of funding if available.
- c) The faculty member need to indicate the number of Ph.D. scholars currently enrolled under him/her.
- d) Relevant information shall be made available on the institute's website in respect of positions available and research interests of potential guides

The guides who are willing to take scholars should submit a concept proposal to the Division of Research, Dean (Research) office and it will be scrutinized by a Ph.D. monitoring committee. Only the applicants of successful proposal will be allowed to take scholars for the particular year.

The proposal submitted by the guides will be assessed on the following considerations:

1. Are the right research questions asked in relation to the background and the problem presented?
2. Is the proposal novel enough?
3. Are the objectives appropriate for the research questions raised?
4. Is the methodology appropriate to achieve the objectives and answer the questions raised?
5. Is the proposed volume of work adequate for the Ph.D. degree?
6. Feasibility of the work proposed
7. Workload of the guide
8. Funding

6. ADVERTISEMENT/NOTIFICATION AND APPLICATION FOR Ph.D.

The admission to the Ph.D. course will be done twice a year for which the advertisement shall be placed in National Dailies (English, Hindi & Institute website) and institutional web-site. The candidates desirous of registering for the Ph.D. degree program should apply in the prescribed application form through the proper channel (wherever applicable) per the notification. Only eligible candidates (based on the eligibility criteria mentioned in point 1) will be permitted to appear for written test and/or an interview.

The final selection will be based on the interview conducted by Ph.D. admission committee, (constituting of the members of PhDRMC and the respective guides) followed by counselling. For internal candidates applying for part-time Ph.D. program, no interview will be conducted, they will directly appear for counselling.

7. ADMISSION TO PART-TIME Ph.D. COURSE

Rules and regulations for the employees of AIIMS-Gorakhpur applying for Part-time-In-service Ph.D. course

Admission to part-time Ph.D. course is restricted to internal in-service candidates, governed by service rules. Only those who are found eligible can register. The applicants (regular faculty and teaching staff) will undergo the similar process as prescribed for full-time Ph.D. course, however, they do not have to appear for written test or interview, after application and identification of guide/ guides, and they will directly appear for counseling. Further, limitations on number of candidates, as listed below, will apply.

- a) The candidate should possess the required degree as prescribed by the department concerned with 60% marks (55% in case of SC/ST/OBC/OPH candidates) (for details refer to point no. 1).
- b) The candidate should be a regular employee of the Institute, with at least five years of continuous service at AIIMS GKP. The application should be recommended by Head of the Department or Section Head. While recommending any application, the Head should indicate the number of candidates already doing part time Ph.D. from the department.
- c) The candidate is eligible to apply only 5 years after obtaining the PG degree. The date/month of the provisional degree certificate will be taken for the calculation of the gap.
- d) The candidate should have a minimum of three original papers (for teaching faculty)/ one original paper (For teaching staff) published in PubMed indexed journals.
- e) The candidate once selected for the course, shall have to execute a bond to:-
 - I.Continue to serve at AIIMS GKP for at least for five years from the date of completion of the Ph.D. degree.
 - II.A penalty of Rs. 1,00,000/- (Rs one lakh only) if he/she cannot fulfil the above condition (a).
 - III.Pay Rs.50000/- (Fifty thousand only) if he/she discontinues the course one year after registration of Ph.D. or does not complete the course within the stipulated period.
- f) The candidate should have at least 10 years of service left at the time of registration for Ph.D.
- g) The candidates should give a declaration that his/her routine duties will not be compromised. Also, the HoD/Section Head should give a declaration that the routine work will not be affected and the candidate will continue to perform all the duties assigned to him/her as per

the service rules.

- h) All the part-time internal candidates applying for admission to the Ph.D. program shall submit an outline of the research proposal giving sufficient background material and the proposed line of research, and obtain the consent of a guide duly recognized by the Institute. They should also identify a potential Guide to register with.
- i) They shall obtain the necessary administrative approval/NOC from competent authority before applying for the Ph.D.
- j) The Doctoral Committee (details mentioned on page 20, point no. 24) member selection, protocol submission, DC meetings and intramural fund for part-time program will be governed by the same rules as of regular (full-time) Ph.D. program at AIIMS GKP. The fee structure as well as the course work will be same for part-time internal candidates as for full time Ph.D. candidates.
- k) Permission to do part time Ph.D. can be withdrawn anytime by the Director/Dean (Research), if there is enough reason to believe that the routine work/clinical/teaching service is affected or the quality of the work does not meet the expected standard. The remarks of the guide and the departmental HoD will be asked for before such decision to withdraw.
- l) It must be ensured the research topic selected by the part-time candidates should be substantial enough to award a Ph.D. degree.

Part time internal-in service Ph.D. candidates:

The number of in-service candidates (faculty and non-faculty) undertaking Ph.D. at any given time in any department/unit is limited as given below:

Nursing Cadre - Only *two* staff nurses will be allowed to do part time Ph.D. at any given time. Service seniority will be considered if the number of applications/ applicants are more than the vacancies available. However, the competent may allow more number of candidates to register under special circumstances.

Nursing college teaching faculty/staff - Only one teaching faculty will be allowed to register for Ph.D. per year. Service seniority will be considered if more applications are submitted in a year. However, for this year (2023), permission can be granted to up to three nursing college teaching faculty/staff after approval from the competent authority.

Faculty members - Only *one* faculty member per department at a time ~~can do~~ shall be permitted

to pursue part time Ph.D. Service seniority will be considered if more number of applications are submitted. *The faculty members shall not serve as a guide for any Ph.D. students at the time of submission of application and till the submission of the Ph.D. thesis.* However he can continue as a co-guide for Ph.D. student and guide for other courses such as DM, M.Ch., MD, MS and DNB.

Office staff / Ministerial staff - They will not be permitted, if the work is to be carried out in any academic department or service/ancillary section.

Part time external: (registering for/doing Ph.D. by AIIMS GKP staff with other institutes)

No AIIMS GKP regular employee shall be allowed to do part-time Ph.D. in institutes other than AIIMS GKP.

Part time Ph.D. for students from other institutes: Shall not be allowed.

8. THE DUAL Ph.D. PROGRAM

Under this program, a candidate may carry out part of his/her Ph.D. work in a recognized international foreign university/ research institution or Institute of National Importance with which a MoU has been signed. The Ph.D. candidates will be co-supervised by the faculty from the collaborating Institute/ University. No financial support will be provided by the Institute during the external posting. The candidate shall provide evidence of having financial support for their work in Indian laboratories and /or international Fellowships/scholarships for foreign dual fellowship programs. The maximum period of stay in the collaborating Institute/University will be one year, which can be availed in single or multiple visits of not less than three months each. *Only AIIMS GKP will award the degree. The collaborating institute will not issue the degree.*

9. METHOD OF SELECTION

The candidates under category IV has to appear for the examinations, the candidate under category I,II,III and V can directly appear for stage 3 i.e. interview.

For regular faculty, for admission in part-time Ph.D. course, they need not appear for written test and interview. They can register by following proper procedures, after consent from an eligible guide and approval from competent authority.

Selection for Ph.D. registration will be through a three-stage performance evaluation mentioned below:

Written Examination

Part-I (30 Marks): MCQs assessing logical reasoning, English (written and verbal skills), Biostatistics, Research Methodology, Cell Biology, Lab. Technology, etc.

Part-II (50 marks): Subject related test comprising of MCQ questions of MD/MS/ MDS/M.Sc entrance level MCQ paper to be set up by examination section from the question-bank generated with help of Departmental Faculty/external experts.

Part-II will have separate questions based on the following criteria:

- 1) Medical Qualification: Subject-related questions from medical specialties.
- 2) Nursing Qualification: Subject-related questions of M.Sc. level.
- 3) Non-Medical Qualification: Subject-related questions of M.Sc. level.

There will be negative marking and every incorrect answer carries (-)1/3.

Total Duration (Part-I +Part-II): 90 Minutes

Interview: 20 marks

The final selection is based on the interview by the Ph.D. Admission committee, constituting the PhDRMC and the respective Guides.

Departments:

The candidates can choose the departments as follows:

Medical stream: Pre-clinical, para clinical and clinical departments.

Non-Medical Candidates: Pre and para clinical departments, Department of Medical Education, Nursing college and those clinical departments where proper lab facilities and expertise are available to conduct Ph.D. level research. In exceptional cases a clinical department with a co-guide in a pre or para clinical sister department to guide the lab related work may be allowed to enroll a candidate from biological sciences group. In cases, where a guide from a

clinical department wants to accept a candidate from biological science stream, it must be done with a co-guide in a pre or para clinical sister department to guide the lab related work

Nursing Candidates: Nursing College. However, if justified the guides of nursing candidates can be from medical stream with a co-guide in nursing department.

10. EXAMINATION AND COUNSELLING

- a. The written test will be of 90 minutes comprising of two parts as mentioned above.
- b. Candidates scoring >50% percentile marks in written test will be eligible for interview.
- c. Candidates 3 times in number of advertised seats, per subject, in order of merit based on their marks in written test may be called for interview.
- d. The candidates who will qualify the written examination will be interviewed for the final selection
- e. The sum total of marks awarded in written and interview will determine the final merit list of candidates. A minimum of 50% marks is required to be eligible for admission.
- f. Candidates may select any seat they wish to join based on their eligibility and merit order within each department through a process of counseling.
- g. The exam section will conduct the exam, counseling, display of result and all other matters related to the selection process. Separate list will be published for candidates applying under different categories i.e. medical, non-medical and nursing.
- h. Candidates who fail to attend any of the stages of examinations as mentioned above will not be eligible for admission.
- i. After declaration of the results, the selection letters will be issued by the Academic Section after verifying all documents/fellowships/funds etc.
- j. The guides will be allotted to the candidates at the time of selection, the candidates can fill maximum 3 options as per their preference (list of guides will be displayed on institutional website). The student higher in merit will be allotted guide first.

11. NOTIFICATION TO THE SELECTED CANDIDATES

The letter of offer will be issued to the selected candidates by the Academic section. Candidates will need to deposit fees, undergo medical examination and fulfill other prescribed formalities prior to their joining. After joining, the students have to report the Division of Research. The selected candidates **must join within 15 days of date of issue of letter** of offer or have their request for an extension in joining approved by the Dean (Research).

12. CRITERIA FOR ENROLMENT OF INSTITUTE FACULTY/SCIENTIST CADRE FOR Part-time Ph.D. PROGRAM FOR CATEGORY 5 (refer to point 2):

Faculty members/scientists/teaching staff on a regular position who have completed 5 years of regular service at this Institute and have at-least 3 original research papers in indexed journals (not case reports) as first author or corresponding author are eligible to apply. In addition, papers in which the faculty member is a second author will also be considered provided the first author is a student/research fellow, during the preceding five years.

The faculty members/scientists will have to apply for part-time Ph.D. course and has to appear before the Dean's committee for Ph.D. candidates for counselling for appointment of the guide. Departments will ordinarily be permitted to enroll only one faculty member / scientist per year with a ceiling of 25% of the concerned cadre within the department enrolled at any point in time. However, the Executive Director and PhDRMC can permit more than 25% faculty to enroll for Ph.D. if there are less number of total faculty in the department.

The individual should have minimum 10 years of active service left at the Institute at the time of application. The Head of the Department should certify that the work of the department will not suffer and no additional staff will be asked for.

If the faculty member registering for Ph.D. is already a Guide to other Ph.D. candidate, he/she should-transfer the guideship of his/her students to the Co-guide before taking up the Ph.D. program for himself/herself. Medical faculty members however can continue to act as guide/co-guide for MD/MS/DM/MCh candidates, except for the year that they are on leave.

For further details refer to point. No. 7. Under ADMISSION TO PART-TIME PH.D. COURSE.

13. Ph.D. ADMISSIONS TO EXTERNAL ORGANIZATIONS

Not permitted for internal candidates working at the institution.

14. DURATION OF THE PROGRAM

Full Time and Part Time

The minimum period for completion of Ph.D. will be three years from the date of enrollment/provisional registration. In the cases where the candidate has completed his/her Ph.D. work in less than 3 years and wants to submit thesis, then on the basis of recommendation of the Doctoral Committee with full justification of the ~~his~~ work, the candidate may submit the thesis to the Institute on after recommendation of PhDRMC. Maximum period of the course shall not exceed five years for full-time candidates, and six years for part-time candidates from the date of provisional registration (however, extension up to one year can be granted by competent authority on case to case basis). He/she shall attend the department for research on all working days, except for periods when he/she is allowed to visit other institutions/laboratories for activities connected with research for a period permitted by the concerned guide.

All medical and hostel facilities will be withdrawn after 5 years of registration. In rare circumstances, that the candidate requires extension beyond 5 years, he/she would be required to re-register for submission of thesis. During this period he/she will have to deposit fees as prescribed but will not be eligible for hostel or medical facilities. During extension period, the candidate will also not be allowed by the institute to attend national / international conferences. He/she shall surrender the medical and hostel facilities immediately after the issue of provisional degree certificate.

The guide will be responsible for smooth progress of the student and to inform the Institute from time to time if the progress is not satisfactory.

15. ELIGIBILITY CRITERIA FOR RECOGNITION AS A GUIDE OR CO-GUIDE

1) Faculty member should be on a regular position and has completed period of probation is eligible to become **guide and co-guide**. Those who have been working in the institution and have joined a new position can be exempted from the period of probation as per decision of PhDRMC.

2): For Medical/ Non-medical Faculty, a faculty member who is Associate Professor and above and has minimum of three years of experience after DM/MCh/Ph.D. or six years after MD/MS/DNB (from institute of national importance or MCI recognized medical college) is eligible to **become a guide**. Nursing faculty, who has minimum of three years of experience after Ph.D. is also eligible to become a **guide**.

3) The **guide** should have at least 10 publications in PubMed Indexed Journal (original research articles) as corresponding or first author.

4) The **guide** should have the earlier experience of extra-mural funded projects as Principal-Investigator (PI)

5) The **guide** should have consistent quality research record.

4) The **guide or co-guide** *must not* be related to the candidate PURSUING Ph.D. (parent, sibling, spouse, relative of spouse, cousin or their spouses / siblings or children).

6) Faculty members due to superannuate in next 3 years will **not be eligible as guide or Co-guide** from the date of the request.

Other rules:

There must be at least one co-guide from the institute (preferably from the department of guide).

The Guide and the Co-guide should be prepared to take over each-others responsibilities in the event of long absence of any one of them from the Institute.

The Guide will not be allowed to proceed on long leave (either a fellowship or sabbatical leave untiladequate arrangements are made for students monitoring / mentoring during the period of leave).

The HoD must certify that student work will not suffer during the absence of the Guide and Co-guide and specify who will supervise the work in the absence of Guide. The said substitute will remain available for the duration of absence of the guide/co-guide in question. In any exceptional situation that may arise when the Guide and Co-guide are both not available, then the student may be transferred to another senior faculty member in the department with the consent of Head of the Department or Dean. However, such situations must be avoided. All the eligible guides will be provided certificate of Guideship and a notification will be issued.

16. SCIENTIST AS GUIDE FOR Ph.D. STUDENTS

They should hold a Ph.D. degree and should be the regular employee of AIIMS GKP.

They should have at least 5 years of experience after Ph.D. as a scientist at AIIMS GKP.

A faculty member (Medical or Non-Medical) of the AIIMS GKP, who has expertise in the area of research, should be a Co-guide. Other terms & conditions will be as described for the faculty.

17. ELIGIBILITY CRITERIA FOR CO-GUIDE (EXTERNAL ORGANIZATIONS)

The permanent/regular faculty member can become Co-guide of a Ph.D. student who has expertise in the field and completed probation period.

A faculty can also be a Co-guide of a Ph.D. student enrolled at an external government organization. The guide of the student (from external organization) may request the concerned faculty member of this institute for being a co-guide with full justification and the copy of synopsis duly recommended by Ph.D. monitoring committee of that organization. If the faculty member of this institute is interested to become a co-guide, he may send the request to the Division of Research along with supporting documents for approval by the Director. If the work involves drawing on resources of the Institute in any conceivable way, the project will need to have all the necessary approvals (as for other projects running at institute) and duly forwarded by the head of the concerned department.

For transfer of biological material if any, prior approval by both institutions for its use will need to be obtained.

18. CHANGE OF GUIDE

In the unfortunate event of the demise of Guide or resignation/ long leave (sabbatical leave)/ prolonged absence, the Co-guide will have to take responsibility of Guide for the student. This should be decided by the Dean's committee and concerned Co-guide (the person should fulfill the eligibility criteria of a Guide).

On the event of the superannuation of the Guide, the student will be transferred to the co-guide (preferably from the same department) 3 months before superannuation to ensure smooth transfer. The superannuated faculty member may serve as a co-guide with the consent of the doctoral committee and the Dean (Research).

Change of supervisor/guide shall be permitted within two years of the provisional registration with the approval of the PhDRMC and the competent authority (Executive Director) on valid grounds. However, under special circumstances, competent authority has the authority to allow the same depending on the case.

19. PROCEDURE AFTER THE SELECTION

Selected candidates after completing necessary formalities will formally join under the concerned guide. The said date will be taken as the date of registration/enrolment. The student has to submit the joining report, enrolment form, medical fitness certificate of the institute, character and marital certificates and the receipt of the fees paid as prescribed in the fees booklet issued by the Research Accounts Section. The student must bring original pass certificates for their verification by the Division of Research.

20. COURSE REQUIREMENTS

Candidates will have to participate regularly in the research-oriented teaching programs, post-graduate lectures, journal clubs, and seminars of the department during the initial two years. They may not attend any teaching activity which is purely clinical.

The guide is responsible for the completion of the research work and fulfillment of the administrative requirements by the candidate registered under him/her. During the period of registration and before submission of thesis, it is mandatory for each candidate to fulfill the following requirements:

a) As per the gazette of India July 11, 2009, issued by the Govt. of India, the candidate has to undertake course work. The course work shall be treated as pre-Ph.D. preparation and must include a course on research methodology which may include quantitative methods and computer application, which may also involve reviewing of the published research in the relevant field. The course work should be completed by the student within 2 years of enrollment. The general guidelines for this course work will be as follows:

Evaluation

The scholars will undergo two examinations during the course

Part – I: Pre-Ph.D. course work (Two Written Papers)

Part – II (Thesis and Public Viva-Voce examination)

The Part-I examination

Paper I – Includes Research Methodology, Biostatistics and Research ethics. The course contents will be conducted under Department of Medical Education and 10-12 classes will be allotted. *Examination for the same will be conducted by Dean Examination*

Paper II – Mainly includes subject knowledge along with review of published research in the relevant field, basic & advanced training in the relevant methodologies required to carry out the research work. Overall, this will be an advanced paper in the subject concerned that is required to design and conduct Ph.D. work by the candidate. The syllabus for Paper-2 will be framed by the doctoral committee members and will be approved by Dean (Research).

Examination under Part I of the Ph.D. Program

The Ph.D. scholar after provisional enrolment shall undertake a course work for a minimum period of six months. The course work shall be considered as Pre-Ph.D. preparation and shall

include.

All the Ph.D. scholars after completing the course work shall appear for Part I Examination conducted by the office of the Dean (Examination).

The examination shall consist of two written papers of 3 hours duration each. Each paper shall carry **maximum marks of 100**. This will be a centralized examination wherein the Paper I will be common to all candidates and Paper II will be subject specific.

Pattern of question Paper -I and II shall be as under:

01 Long Answer Question- 25 Marks

02 Short Essay Question- 15 Marks

09 Short Answer Question- 05 Marks each

There shall be no multiple choice questions

The external and internal experts for each subject shall be decided by the respective doctoral committee

The setting of question Paper-I shall be done by the internal experts as decided by the respective doctoral committee. The dean (examination) shall have the authority to get the answer sheet of Paper-I evaluated by external subject expert or by the internal subject expert as decided by respective doctoral committee.

The setting of question Paper-II shall be done by the external subject experts as decided by the respective doctoral committee.

Remuneration of the work done for conduct of Examination shall be paid to the faculties and employees involved in the process as per the extant rules in vogue.

On conclusion of exams the results shall be prepared and declared by the examination section and a copy will be handed over to the head of the respective departments for presentation and endorsement in the doctoral committee meeting. A minimum score of 50% in each paper is required for passing the Part I examination.

Dean (Research) may amend the course curriculum accordingly.

A candidate who fails in the written examination may be permitted to reappear in the examination on two more occasions. All the candidates shall have to clear the Part-I examination within 12 months from the date of provisional registration. In case of failure, they shall appear for examination in the subject of failure only.

A candidate who is unable to clear the Part I examination in three attempts shall not be permitted

to continue the Ph.D. program and his/her provisional registration shall stand cancelled.

21. EXTERNAL TRAINING PROGRAM

External Training: The candidate may be permitted to undergo external training for up to six months at a recognized national or international research institute in the entire tenure for learning techniques/research work related to the project on the recommendations of the guide and approval of the Director.

Ph.D. students may be permitted to attend scientific conferences/symposia/seminars and workshops under following conditions:

- They have an accepted abstract.
- The training/fellowship/conference for which a Ph.D. student is permitted should be related to his/her Ph.D. topic and should be recommended by the guide.

A maximum period of three months will be permitted for such activities during the total tenure. Only one visit abroad will be permitted per year. In case of training abroad, the guide should obtain a performance report from the host Institute and this should be submitted to Division of Research along with a brief report of the visit.

- The registration fees, TA/DA may be paid from contingency grants (within country) if the funds are available. However, TA/DA & registration fees for visit abroad will not be paid from the contingency grant (Institute or funding agency).
- If a student does not rejoin after availing training/fellowship, within the stipulated period, the appointment may be cancelled /terminated without serving any notice. This clause would be incorporated in the permission letter.
- The period of absence for any long training/fellowship will be from the allowed leave due to the candidate.

22. LEAVE FOR ATTENDING EXTERNAL TRAINING/CONFERENCES/ WORKSHOP

Only 30 days leave is permitted in a given year. Two conference leaves will be permitted in a year not exceeding ten days. During this conference, the candidate should present a paper from their thesis work. If they wish to attend any other conference, they will have to avail themselves leave from their sanctioned 30 days. Leave for undergoing training and attending workshops will be considered as per the existing Ph.D. guidelines.

23. APPROVAL FROM Ph.D. RESEARCH MONITORING COMMITTEE, SCIENTIFIC ADVISORY COMMITTEE AND INSTITUTE ETHICS COMMITTEE

The candidate should get the approval of his/her research proposal from the Ph.D. Monitoring committee, Institute's Scientific Advisory Committee and the Institute Ethics Committee (Human/Animal) within six months of his/her provisional registration.

After registration of the candidate, synopsis and doctoral committee need to be approved from Ph.D. monitoring committee. After the first Doctoral Committee meeting, the approved synopsis should be submitted to the Ethics/Animal ethics committee as per the requirement of the thesis work, the guide should obtain the approval from the above committees.

In any case, the work should not be started by the candidate prior to the ethics committee approval.

Any changes in the title of the synopsis or protocol, must be informed to the above committee for approval and its copy should be sent to Division of Research, for record.

24. DOCTORAL COMMITTEE

Doctoral committee (DC) will be approved by the Director on the recommendation of the guide within **nine months** of admission of the candidate, as per the following:

- | | |
|---|-------------------|
| 1. Guide (he/she would initiate steps for the formation of the DC)- | Coordinator |
| 2. One / two expert from reputed organization | External expert |
| 3. Faculty Members (nominee of PhDRMC) | - Internal Member |
| 4. Co-guides (as per the thesis requirement) | - Member |

When the candidate enrolled, a doctoral committee will be constituted in each case. The doctoral committee shall consist of a Guide / Supervisor (as Coordinator he/she would initiate steps for the formation of the committee), one or more faculty members from outside the institute specialized in a related field as an External expert shall be included in the committee. The external expert shall be from outside Gorakhpur, preferably from Institutes of National Importance. The guide will nominate 3-4 external experts who have expertise in the field, the members of PhDRMC will finalize the same. **The internal expert will be nominated by PhDRMC.** Co-guides will be as per the requirement of the thesis work (preferable 2-3). All members of the Doctoral Committee must be recognized as guides (full fill the criteria). The Committee will be formed from the panel of names submitted by the Supervisor/ Guide and nominated by the Dean (Research) which will be approved and notified.

Following are the responsibilities of the members of DC

The Committee shall meet once in six months, to review the work of the candidate, make suggestions for the future work, and submit reports on the progress to PhDRMC.

(a) The first meeting of the committee shall be within **three-months** after provisional registration and in this meeting, the committee shall prescribe the courses that the candidate needs to take as a requirement for the Part I examination.

It is the responsibility of the guide to convene and organize DC meetings every six months from the date of enrolment of the student. All members should preferably participate in all DC meetings; with the presence of external expert being mandatory. If the co-guide is not available during the meeting, then he/she should preferably certify the recommendation of the DC minutes. The TA/DA & honorarium will be given to the external experts and external members for attending the doctoral committee meetings from the academic fund of the Institute.

The first DC must be held within a year of registration and should approve the synopsis and

proposed plan of work of the candidate. The candidate has to submit the synopsis before the doctoral committee for doing the Ph.D. work. After approval of the synopsis by the doctoral committee, the candidate should submit the signed copy of the synopsis to the Ph.D. monitoring committee / Division of Research for its approval by the Dean (Research) along with the minutes of the first doctoral committee meeting.

The guide must ensure that the progress of the research work is regularly monitored. The DC must be convened periodically and satisfactory progress must be endorsed by the DC. The co-guide(s) shall attend all the DC meetings with active participation. Any changes in parts or full (including title) of the proposed work of the candidate must be approved by the DC.

The final DC will also approve satisfactory completion of the work as proposed in the synopsis and give permission to the candidate to write the thesis. The final DC should be held at least 6 months before the end of the maximum registration period (of 5 years). The guide will give a minimum notice of 7 days to the candidate to make any presentation before the final DC.

The final DC will approve the name of not less than six Indian examiners and at least four names of the foreign examiners separately with their complete postal address, e-mail, mobile/telephone no. etc. In any case the examiner shall not be less than Additional Professor/Scientist-E. Within seven days of final DC meeting, minutes of all the DC meetings along with synopsis of the Ph.D. work (not more than 10 pages) must be submitted to Division of Research. Synopsis will be sent to the approved examiners for seeking their consent to evaluate the Ph.D. thesis.

In the instance that a co-guide is not willing to participate in DC proceedings, guide may recommend another co-guide to Dean (Research) through the HoD.

In the instance that DC is not satisfied with the progress of the work, this should be specifically noted and communicated by the Dean/Guide to the student with a cautionary note. DC may recommend termination of studentship at any given point, if it finds that progress of the work is totally unsatisfactory despite previous warnings/notifications. The recommendation of termination of the studentship shall be unanimously approved by the DC with adequate justification. In instances where Dean is not satisfied with the progress reported by DC, the Dean may refer the matter back with comments to the DC for revaluation and suggestions.

All meetings of the DC should be open sessions and the guide should circulate the notice of such a meeting well in time to encourage wider participation.

Schedule of DC meetings for Ph.D. program		
Time Line for Ph.D. course		
DC Meeting	Time in months	Steps
Pre-registration process		Guide will apply and send requirement for Ph.D. candidate
		Dean (Research) will notify the Eligible Guides
		There will be notification for the admission to Ph.D. course
		Ph.D. candidates will apply for admission to Ph.D. course
		Selection with due procedure (written/ interview/ counselling) followed by allotment of Guide and Joining of the candidate.
	Start of the Ph.D. program	Registration of the candidate (joining date)
1 st DC	Within 3 months	Guide will initiate the constitution of DC. Approval of DC members followed by its first meeting within 3 months (to be initiated by the guide). First Ph.D. protocol will be submitted, discussed and modifications/ suggestions will be provided by the DC members. The student will start attending pre-PhD course work for Paper-I (Part-I examination).
2 nd DC	Within 6 months	The modified PhD protocol will be approved and finalized by DC followed by necessary approvals from Ph.D.RMC, IEC, RAC, CTRI, Stem cell research (whatever is required) to start the Ph.D. work. Within 6 months, Part I- Paper I of the exam (course work) to be completed. Also, the syllabus for Paper –II will be finalized by DC members and external expert will draft the paper.
3 rd DC	Within 12 months	1 st year Part-I-Paper II should be completed. DC will declare the results of part-I of examination. Any progress related to the work will be discussed.
4 th DC	Within 18 months	Any progress related to the work will be discussed.
5 th DC	Within 24 months	Any progress related to the work will be discussed.
6 th DC	Within 30 months	Any progress related to the work will be discussed.
7 th DC	Within 36 months	Any progress related to the work will be discussed. The student will be encouraged to complete the PhD work for synopsis submission, followed by thesis submission and examination
8 th DC	Within 42 months	If the synopsis is not submitted in time then the DC meetings will continue to take place every 6 month to discuss progress of the Ph.D. work
9 th DC	Within 48 months	Any progress related to the work will be discussed.
10 th DC	Within 54 months	Any progress related to the work will be discussed.
	Within 60 months	Before completion of 5 years, the student shall submit thesis and shall appear for paper II i.e. viva-voce only after satisfactory thesis evaluation report. Extension (for up to maximum of 1 year) will be provided on the case to case basis by the competent authority.

25. DUTIES AND RESPONSIBILITIES OF A Ph.D. SCHOLAR

- The work of the Ph.D. scholar shall be monitored and assessed continuously by the guide and submitted to the office of the Dean (Research) in the form of an annual report on the work progress and conduct of the Ph.D. scholar. Hence, the Ph.D. scholars should be diligent in the discharge of their duties and should not indulge in any indiscipline, professional or research misconduct lest it result in cancellation of their Ph.D. registration.
- The Ph.D. scholar shall interact with the guide on a regular basis daily or weekly to discuss the work progress and to plan the work to be done. The scholar shall make a record of such interactions signed by both the scholar and the guide. The same shall be put before the DC. Their comments shall be reflected in the DC meetings submitted to the Dean (Research) office.
- The Ph.D. scholar shall make a log-book as per institute format. The duly filled log- book with the signatures and comments of the guide shall be submitted to the Dean (Research) along with the annual report.
- Every Ph.D. scholar shall maintain a separate log-book
- The log-book has to be supervised and signed by the guide / co-guide. The log-book should be available for scrutiny at all times as required by the guide or the members of the DC.
- The log-book shall be maintained till the completion of the research work.
- The log-book signed by the guide should be submitted along with the thesis at the time of final submission of the thesis which will be returned to the guide who will maintain it.
- The Ph.D. scholar shall make a daily record of their clinical, laboratory, patient care and research activities and get it endorsed by the guide during interactions and submit it to the HoD and the DC for evaluation and approval from time to time.
- The subsequent year stipend shall be approved and released only after the submission of annual report containing the details of satisfactory completion of research work, punctuality, and active participation in the patient care activities, academic programs of the department, discipline and conduct of the scholar, by the guide through the HoD.
- The subsequent year (every year) stipend shall be approved and released only after the submission of progress report of thesis work, subject to certification by the guide, and the HoD to the effect that the scholar has satisfactorily carried out research work as well as other assigned responsibilities.

- The Ph.D. scholars shall be entitled to all library facilities (Library books, journals and e-resources)
- The Ph.D. scholar shall devote his/ her whole time to the Ph.D. course and shall not engage, directly or indirectly, in any trade, business, occupation or profession (including any private practice) on his/her own account and shall not (except in case of accident or sickness certified by competent Medical authority) absent himself/herself from his/her said duties without having first obtained permission from the Dean (Research) and after having submitted a leave application through the guide and the HoD.
- If the Ph.D. scholar is found to be lacking in his/her research work, indulging in indiscipline, or research / professional misconduct, he/she shall be liable to disciplinary action including discontinuation of the stipend, cancellation of Ph.D. registration and part or full recovery of the funding support released for research purposes.
- No scholar shall be allowed to register simultaneously for any other Degree / Diploma program during his/her Ph.D. course.
- If, at any point of time, it is found to be otherwise, his/her admission will stand cancelled, and he/she will have to forfeit all the fees and deposits paid by him/her.
- AIIMS GKP shall take legal and/or disciplinary action or both, as it may be deemed fit, in such cases.

STUDENT REDRESSAL

- All complaints to be addressed to Dean (Research) in writing.
- All complaints should be routed through guides and if the complaint is about guide/co-guides it can be submitted directly to the Ph.D.RMC.
- Non-academic complaints to be addressed to grievance cell / women's cell as appropriate.

26. UP-GRADATION OF FELLOWSHIP

On completion of second year, the fellowship (JRF) may be upgraded to SRF on recommendation of the DC as per the prescribed format of the concerning national funding agencies. For the institute fellowship different rules will be followed as mentioned in earlier section.

27. SUBMISSION OF SYNOPSIS

As soon as the work is over, every candidate shall submit to the institute, through the guide and HoD one print copy along with the soft copy of the synopsis of the thesis by email.

The candidate shall prepare the synopsis carefully in consultation with the guide. The synopsis should bring out in an abridged form - the aims for conducting research, work done, results, and conclusions drawn. The candidate shall make a presentation of the synopsis before the DC. The candidate shall also make a presentation of synopsis in the department prior to the submission. The synopsis of the thesis shall be of 10-20 pages, typed both sides on A4 size paper with one and half space of Times New Roman Font size of 12. Along with the synopsis the guide will submit a list of at least 4 Indian examiners and at least 3 foreign examiners who are working in the field of study. The guide may contact each member in the panel of examiners to seek their consent to be placed in the panel. After the submission of the synopsis and on the recommendation of the Dean (Research), the institute shall contact the examiners by email to seek the consent.

The synopsis 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. A maximum of two extensions of six months each shall be given at the discretion of the Dean (Research) on the recommendations of the guide/DC after the expiry of which the registration will stand automatically cancelled. (The format for synopsis is attached at the end on pg.no 65-67).

28. THESIS

The thesis should be submitted by the candidate within 06 months from the date of final DC meeting permitting the student to write the thesis. The thesis should be in a format approved by the Institute. A certificate from the Head of the Department in the prescribed format should be included in the thesis. The thesis should be signed by the Guide and all co-guides. Under exceptional situation the thesis can be submitted by the student with the signature of only guide, after approval by the Dean (Research). At the time of submission of thesis, a student must submit no dues certificate to the Division of Research. After submission of thesis, the institute will provide hostel only for six months with an undertaking of his/her Guide/ Head of the Department with proper justification.

The candidate should submit 4 copies of the thesis along with a soft copy (pdf file) to the Division of Research along with the complete no dues certificate and surrender of fees booklet to the Research Accounts Section. (Detail format and instructions provided from pg. no.69-74)

29. SUBMISSION OF THESIS

- a) The Ph.D. program culminates with the submission of a thesis of a substantial work of original research carried out by the candidate under the supervision of guide.
- b) The candidate should have at least two original research papers (at least one from thesis work) published/accepted for publication (evidence to be submitted along with the thesis) in PubMed indexed journals before submission of the thesis. The candidate must be the first author and the Guide should be the corresponding author in the work published from the part of the thesis. The reprint/preprint should be included in the appendix of the thesis. The candidates who have not received the reprint/preprint of their original research papers, may also submit their thesis to Dean (Research), however, their thesis will not be processed till they submit the same.
- c) Normally the length of the thesis shall be not more than 200 pages typed on A4 size paper with one and half-space (excluding end-notes, appendices, and bibliography). The Institute shall prescribe a detailed format for the thesis from time to time. It is recommended that the references in the thesis are written in *Vancouver* format. The thesis is expected to undergo an extensive revision process before it is finally submitted.
- d) The candidate shall submit four hard copies of the thesis in bound form and two copies in the electronic form (read-only format) to the Examination section for evaluation by the examiners.

If any corrections/modifications are suggested by the examiners, the same shall be incorporated in the final version of the thesis. The supervisor and the doctoral committee shall certify that the corrections/suggestions were incorporated as per the examiner(s) report. The final modified thesis shall be resubmitted in two bound hardcopies and a soft copy for its approval or as per recommendation of the examiners.
- e) The thesis shall 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. A maximum of two extensions of up to six months each may be given at the discretion of the Executive Director on case to case basis on the recommendations of the Guide / Doctoral Committee. The registration shall be cancelled after completion of the extension period. Every candidate shall submit with his/her thesis a certificate from the Supervisor under whom he / she had 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 independent work on the part of the candidate.

30. BOARD OF EXAMINERS FOR EVALUATION OF THESIS

The thesis examination board will be constituted by Executive Director on the recommendation of the Dean (Research) and will consist of three examiners (one must be from outside the country and preferably of foreign origin) out of the list of not less than 6 Indian and 4 names of the foreign examiners along with their latest designation, complete postal address with Pin Code, e-mail, telephone/mobile no. etc. recommended by the DC and the Guide (during the submission of the synopsis).

In exceptional circumstances, Executive Director on the recommendation of the Doctoral Committee may appoint an examiner from within the Institute/other local institutes.

Dean/Division of Research will obtain the consent of the examiners for evaluation of the thesis.

A synopsis submitted by the student along with the consent letter will be sent to the examiners for seeking their permission to evaluate the thesis. Soft copy and hard copy of the thesis will be dispatched to examiners only after the candidate submits “No Dues Certificate” duly signed by all concerned departments to the Division of Research.

31. FINAL EVALUATION OF THE THESIS

The detailed comments from one foreign examiner and two Indian examiners will be received by the Dean (Research) on a prescribed format (by hard copy/e-mail). The examiners will have to make clear recommendation whether the thesis has been accepted/ accepted with modifications/ rejected. If reports from all the external examiners are not received within three months, a copy of the thesis shall be sent to another examiner from the approved list of examiners after due approval from Director. Dean will ensure that all three evaluation reports are in order and convey the reports to the guide. The guide as coordinator, will co-ordinate thesis defense/viva-voce of the candidate.

32. THE CRITERIA FOR GRADING THE REPORT

Thesis accepted: viva-voce examination to be conducted.

In cases where the thesis is accepted with minor revision, viva-voce will be conducted. However, in such cases recommended changes such as typographical errors/correction of references/reanalysis of data/clarifications/retyping/correction in figures suggested by the examiners, they should be incorporated in the library copy and submitted to the Division of Research before degree is notified.

Thesis accepted with major modifications: If additional experiments are required to be carried out, the student will be allowed to resubmit after completing the required extra work.

In case of major flaws in the presentation of data and interpretation of results, the thesis will need to be revised totally and re-submitted. The candidates will be allowed six months for re-submission of thesis (but not more than 5 years from the date of enrolment); however, the student can be granted extension by the competent authority on case to case basis.

If one or more than one examiners have recommended re-writing/re-submission/ revision, the revised thesis incorporating all the changes will be sent for re-evaluation only to the examiner who has asked for the revision. Appropriate facilities will be provided to the student during the time of re-submission i.e. Lab facilities if required, hostel accommodation (if available on payment basis) and library facilities. However, no fellowship and contingency will be paid for this period.

Thesis rejected: If two of the three examiners recommend rejection, the thesis will be considered as rejected. If one examiner recommends rejection, then the thesis will be sent to a fourth examiner from the list of approved examiners. If the fourth examiner approves the thesis, then the viva-voce examination can be held. However, if fourth examiner also recommends rejection, then thesis will be taken as rejected. The reasons for rejection of the thesis should be clear and conveyed to the candidate and also brought to the notice of Ph.D.RMC.

33. THESIS DEFENSE

Instructions for Public Defense/viva-voce of the Thesis (Oral Examination)

After approval of the thesis and on receipt of communication from the Institute, the guide shall coordinate to conduct public viva-voce for the candidate.

The thesis defense will be conducted by one external examiners from India who assessed the thesis, along with board of examination which will constitute of the following members:

- 1) Dean (Research)/ Nominee: Chairman
- 2) Guide / Senior most Co-Guide/ HoD (if guide is not available): Observer
- 3) One External member

In case an external examiner is not available to conduct the viva-voce due to valid reasons, another examiner from the panel of examiners recommended by DC, may be appointed for this purpose with approval of Director.

All the queries raised by the examiners (who are not present during viva-voce) in thesis evaluation report will be asked by Dean (Research) during the viva-voce examination.

The guide shall fix the date and time of the viva-voce in consultation with the external examiner appointed by the Institute for conducting the viva- voce examination. The guide shall give wide publicity and notice before at least 10 working days before scheduling of the examination. The maximum time limit for conducting viva-voce shall be three months from the date of consolidation of reports.

If the candidate fails to take viva-voce within three months on valid grounds, the Dean (Research) can permit one-month extension on specific request from the guide through DC and HoD. If the candidate fails to take the viva-voce even after the extension, the PhD registration gets cancelled.

The Viva-voce can be held on any working day of the Institute. However, no viva-voce shall be held until the final version of the thesis is made available to the Institute. In case the examiner conducting the viva-voce examination is not in a position to travel to the Institute, the guide can arrange the viva-voce with the participation of the external examiner through video conferencing. In this case, the guide and the candidate should be physically present in the venue. In case the guide is not in a position to conduct the viva-voce examination, he/she can request the Dean (Research) to allow the senior-most co-guide or HoD to conduct the examination on his behalf citing the reason(s). If the guide is not in a position even to make such a request, the

Dean (Research) can appoint a co-guide to complete the process.

In the viva-voce, the guide will introduce the external examiner and the jury who will then conduct the examination. The candidate shall make a 30-45 minutes presentation of the thesis. The candidate is expected to explain how he/she embarked on the project, what were the issues set out to investigate, what was achieved, the methodology adopted, and significant contributions to the existing scholarship in the field. After the presentation, the external examiner shall begin the questioning followed by the faculty present and public. Dean (Research) may announce the result in consultation with the external examiner.

After conducting the Viva-Voce examination, the guide shall convey by official letter to the Dean (Research), through the Head of the Department, the result of such examination endorsed by the external examiner and the jury. Dear Research will announce the results. A candidate who is successful in the public viva-voce examination shall be declared to have qualified for the award of Ph.D. Degree.

If the candidate passes the viva-voce examination, the viva-voce examiner and the guide shall consolidate the recommendation and submit to the Dean (Research) for the award of the degree based on

1. The reports of the examiners who adjudicated the thesis and
2. The evaluation report of performance of the candidate in viva-voce examination.

A candidate, who is not successful at the public viva-voce examination, may be permitted to undergo the viva-voce examination a second time, within a period of four months. In the event of failing again, his / her candidature for the degree will be rejected.

34. RESULT OF THE VIVA VOCE (THESIS DEFENSE)

Following the viva voce examination, the Dean (Research) shall co-ordinate the submission of the result in a sealed cover to the Executive Director with clear recommendation of Board of Examiners to AWARD / NOT TO AWARD Ph.D. to the candidate. The report shall be signed by all examiners on the prescribed format. No marks need to be allotted for viva-voce. The candidate shall then be declared *eligible/not eligible* for the award of Degree of “Doctor of Philosophy” based on the recommendations of the Board of Examiners.

If the candidate fails in the viva voce, he/she shall be permitted for an extra attempt for the same within three months of the first viva-voce examination.

35. PROVISIONAL DEGREE CERTIFICATE

Provisional Degree Certificate will be issued by the Dean after receipt of the report of viva voce. The candidate ~~and~~ make a written application for provisional certificate, duly forwarded by the Guide. The provisional degree certificate shall state that the degree shall be awarded at the next convocation.

36. AWARD OF THE Ph.D. DEGREE

The PhDRMC of the Institute after considering the reports of the examiners and that of the viva voce, shall recommend the award of the Ph.D. to the candidate which will be further approved by Academic Board of the Institute. The students will be awarded the degree of “Doctor of Philosophy” at the subsequent convocation.

In case Academic Board is not held before the convocation, Director is authorized by the Board to award the degree and inform the Academic Board at its next meeting and the degree should be awarded at the time of convocation.

In case, a candidate does not attend the convocation in person, the degree will not be sent by post, but handed over to the person nominated by him/her, provided the written request is forwarded by the Guide.

37. THE DEGREE

The Ph.D. degree awarded by the Institute shall be designated as “DOCTOR OF PHILOSOPHY OF THE ALL INDIA INSTITUTE OF MEDICAL SCIENCES-GORAKHPUR”. The certificate for award of degree will state “The topic of his/her thesis was xxxxx”. The month and year of award of the degree will be mentioned. The degree will also mention the subject of specialization of the candidate i.e. if the candidate has done his/her Post graduation in subject X and has been registered with a guide from specialty Y, the degree will indicate the subject X.

38. HOSTEL ACCOMMODATION

The enrolled Ph.D. students will be given hostel depending upon availability. The student has to follow the rules of the hostel prescribed time to time by the institute. However, if the hostel facility is not available, the candidate has to arrange own accommodation.

39. DISCIPLINARY ACTION

Director can impose disciplinary action in any of the following conditions or any others as may arise after making adequate enquiry and satisfying himself/herself of the seriousness of the offence.

-The candidate has furnished any false information which had a bearing on the candidate's selection. The student is/was involved in any academic malpractice or involved in any unlawful activity.

-The student has caused any damage to the Institute's property or peace.

-In case a student proceeds on unauthorized leave or visit abroad without prior permission or is involved in any financial irregularity, enrollment will be automatically cancelled.

It will be the responsibility of the Guide to inform to the Dean for taking necessary disciplinary action. The quantum and nature of the punishment will be decided by the Ph.D. Monitoring Committee, to be approved by the Director and may even lead to cancellation of registration.

40. UNFAIR MEANS AND PLAGIARISM

In case, a Ph.D. student is found adopting or suspected of adopting unfair means or plagiarism, penal action shall be taken by the Institute as may be necessary to up hold the sanctity and the integrity of the research work and the credibility of the Institute. The Executive Director will refer all such instances to PhDRMC to take SUO-MOTO cognizance of all such cases. Such cases may also be reported by any person to PhDRMC or the Guide/Head of the Department, who will forward the matter to the PhDRMC for its consideration and recommendation.

41. Ph.D. RESEARCH MONITORING COMMITTEE

A PhDRMC will be approved by the Executive Director on the recommendation of Dean (Research). It will ensure the smooth running of the Ph.D. Program of the institute. Its term shall be of three years duration. It will deliberate, as and when required, on matters related to the research activities/rules/ or any matter related to the students i.e. fellowship, contingency, leave etc. Modification in the rules of the Ph.D. Program will be discussed and approved by the Committee. It will monitor the progress of the Ph.D. fellow at all the stages and shall be intimated by the guide on any relevant matter. Overall, the committee will monitor the functioning of the Ph.D. program of the Institute and provide suggestions from time to time for improvement. It will scrutinize and approve the Ph.D. registration forms submitted by the Ph.D. scholars after getting the approval of the Research and Ethics committees.

Selection and recommendation of the following:

- (a) Members of the Doctoral Committee.
- (b) Members of the panel of examiners for the Ph.D. thesis evaluation.
- (c) Selection of eligible guides.

42. ESTABLISHMENT MATTER OF Ph.D. STUDENTS

All administrative matters relating to Ph.D. students will be dealt by the Division of Research.

43. LEAVE TO THE Ph.D. STUDENTS

Students are permitted to avail leave (inclusive of all types) with stipend not exceeding 30 days for each completed year of tenure. Leave can be carried over to the next year. However, not more than 90 days can be accumulated at any time during the tenure and not more than 30 days can be availed of at the end prior to completion of the tenure of fellowship. During the first year of enrollment or any uncompleted year, leave may be granted on pro-rata basis.

Guide can grant leave to the student/fellow in his charge with the concurrence of the Head of the Department as per entitlement and all records must be maintained by the Guide/Department. The fellow should not proceed on leave without prior approval by the Institute for overseas visit for attending conference/seminars etc. The entire duration of such foreign visits if funded by any national/international agency, whether partially or fully, would be treated as leave due to the student.

Sanction of leave without stipend beyond the above entitlement may be considered by the Institute under special circumstances. Such cases will be decided by the Dean (Research) on the recommendation of Guide and HoD. Female candidates are entitled to maternity and other leave and male candidates to paternity leave with full stipend as per Central Government rules. The fellowship amount for the leave period will be paid after the fellow resumes duty and submits a medical certificate in support of actual confinement.

44. ATTENDANCE REQUIREMENT FOR Ph.D. STUDENTS

A candidate is required to sign on all working days in an attendance register to be kept in the concerned Department, except when he/she is on duty/sanctioned leave as per the leave rules.

A candidate, who is pursuing course work as a part of his/her Ph.D. Program, is expected to have full attendance in each course. However, a maximum of 30% attendance may be condoned by the Dean (Research) on the recommendation of Guide for cogent reasons as per Institute's rules.

The attendance requirements and leave rules shall also be applicable to the students who are enrolled as Ph.D. students in other organization and doing the research work at this Institute.

Unauthorized absence of students will be informed to the student and also to parents or local guardians. At least 3 reminders will be issued with a gap of 10 days by the Division of Research to these students. Thereafter the action of cancellation of the registration of the concerned will be decided by the Dean (Research) and Director, AIIMS GKP.

45. FELLOWSHIP & CONTINGENCY

The students having Government funding agency, will get their fellowship and contingency as per the funding agency norms. Any revision in the fellowship and contingency will be informed to appropriate bodies of the Institute for financial implications. However, for the candidates who receive fellowship from institute (AIIMS GKP fellowship) the revised fellowship will be given to the students only after the approval from Finance Committee & Governing Body and availability of funds in the Institutes budget. The fellowship and contingency will be discontinued for the enrolled students from the date of the viva-voce examination.

The students receiving the fellowship from external funding agencies should inform the funding agency about the discontinuation after the viva voce examination. This is the responsibility of Guide to inform the Dean (Research) for the same.

46. FEES FOR Ph.D. COURSE

The student must deposit the fees as prescribed by the Institute time to time. Criteria for late fees etc. shall be as per the Institute's norms. Fees once paid to the institute shall not be refunded.

Sl.No.	Description	Fee in INR
1	Admission Fees (One-time payment)	1,000
2	Caution deposit (At the time of admission, refundable)	3,000
3	Tuition Fees (Annual)	3,000
4	Learning Resource Fee (Annual)	6,000
5	Student Information details (Annual)	1,500
6	Identity Card (One time)	150
	Annual fees from second year	10,000
	Examination Fee (after submission of thesis)	10,000
	Re-registration fee	5,000

*Subject to revision from time to time as per Institute's norms

47. MEDICAL FACILITIES

Medical Facilities will be provided to registered students only (**not spouse/parents**) for the duration of their tenure (up to thesis submission date or the term of the Ph.D. duration i.e. five years, whichever is earlier).

48. CANCELLATION OF REGISTRATION

If the progress of the research scholar is found unsatisfactory by the PhDRMC, it shall record the reasons for the same and suggest corrective measures.

If the scholar fails to implement these corrective measures within a period of three months, the PhDRMC may recommend with justification for the cancellation of the registration.

Failure to submit two consecutive six monthly progress reports will entail cancellation of registration.

A research scholar who does not qualify even at the third attempt of the Part-1 examination, shall not be permitted to continue his/her Ph.D. work and his/her provisional registration shall be cancelled.

Where a scholar has not submitted the thesis within the period prescribed or has also failed to do so within the extended period of the PhD, the registration of such scholar shall stand lapsed and the scholar shall be discharged from the PhD degree program.

The decision of the PhDRMC shall be final

Registration may be cancelled on the candidate's own request and duly endorsed by the Doctoral Committee.

If the candidate desires to pursue the Ph.D. program after the cancellation of registration, he/she may do so after going through the admission procedure as a fresh applicant.

49. CONDITIONS UNDER WHICH THE Ph.D. SCHOLARS MAY BE TERMINATED:

By the Government or its authorized officers without any previous notice if the Government is satisfied on medical evidence that the Ph.D. scholar is unfit and is likely to continue unfit shall be conclusive and binding on them.

By the Government or its authorized officers without any previous notice if the Ph.D. scholars shall be guilty of any insubordination, intemperance, or other misconduct or any breach or non-performance of any of the provisions of this agreement or of any rules pertaining to the Institution where he/she may be placed from time to time.

By thirty days' notice in writing given at any time during the course under this agreement by the Government or its authorized officers to him/her without cause assigned.