



**YENEPOYA**

(DEEMED TO BE UNIVERSITY)

Recognized under Sec 3(A) of the UGC Act 1956

Accredited by NAAC with 'A' Grade

***2.4.2 Average percentage of fulltime teachers with Ph.D./D.Sc./D.Lit./ DM/M Ch/DNB in super specialities /other PG degrees (like MD/ MS/ MDS etc.,) in Health Sciences for recognition as Ph.D guides as per the eligibility criteria stipulated by the Regulatory Councils / Universities during the year***

# **Any additional Information**

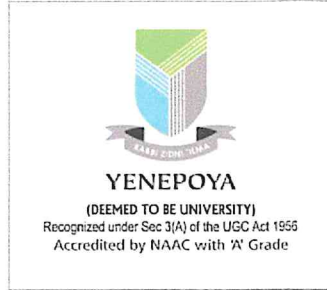
## **Guidelines for PhD Guideship**

ATTESTED

Dr.Gangadhara Somayaji K.S.  
Registrar  
Yenepooya(Deemed to be University)  
University Road, Deralakatte  
Mangalore-575 018, Karnataka

Yenepoya (deemed to be University) – PhD Program --PhD  
Regulations - 2020

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

**(Amended as per the Notification from UGC, MHRD, New Delhi, dated 5<sup>th</sup>  
May 2016)**

Amended after approval from the Academic council held on  
August 11, 2018  
December 13, 2019  
April 27, 2020  
August 27, 2020

**ATTESTED**  


**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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**ATTESTED**



**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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## **PREAMBLE**

The PhD program was initiated in Yenepoya (Deemed to be University) in 2008 adapting the UGC regulations. In lieu of the UGC Regulations, 2016, which specifies the “Minimum Standards and Procedure for the award of PhD degree” the regulations governing the PhD program at Yenepoya (Deemed to be University) have been amended. All the important features of the UGC Regulations, 2016, have been incorporated into this regulation.

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

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

## **02. DISCIPLINES**

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

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

**ATTESTED**

**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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

## 03. ELIGIBILITY FOR ADMISSIONS

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

### 3.1 ELIGIBILITY CRITERIA FOR ADMISSION TO Ph.D. PROGRAM

3.1.1 .1.a.: Medical and Dental : Candidates with M.D. or M.S., or Medical P.G. Diploma, M.D.S., or M.Sc. in medical subjects, including MSc in Oncology & MSc in Human Genetics are eligible for enrollment for Ph.D course.

3.1.b.: Physiotherapy: Candidates with a PG degree in Physiotherapy, i.e., MPT degree or a Master's degree considered as equivalent by Yenepoya (Deemed to be University) are eligible for enrollment to Ph.D course in Physiotherapy.

3.1.c.: Pharmacy: Candidates with M.Pharm, Pharm-D and Pharm – D (PB) degree awarded by a College/University recognized by AICTE/PCI/RGUHS or a P.G. Degree in Pharmacy are eligible for enrollment for Ph.D course in Pharmacy of this University.

3.1.d.: Ayurveda Candidates with Ayurveda Vachaspathi (M.D (Ayu) /MS (Ayu) in Ayurveda in all the specialties or an equivalent P.G. qualification awarded by any other College/University recognized by CCIM are eligible for enrollment for Ph.D course in Ayurveda of this University.

3.1.e.: Homeopathy: Candidates with M.D. in Homoeopathy degree or an equivalent P.G. qualification awarded by a College/ University recognized by CCH are eligible for enrollment for Ph.D course in Homoeopathy of this University.

3.1.f.: Nursing: Candidates with M.Sc/M.Phil in Nursing degree or a P.G. Degree in Nursing considered as equivalent by Yenepoya (Deemed to be University) awarded by a College/University recognized by INC.

3.1.g.: Arts. Science, Commerce, Management: MA (Master of Arts), M.Sc. (Master of Science), M.Com (Master of Commerce), MBA (after BA/B.Sc/B.Com), PG Diploma in Management of 2-year duration (after BA/B.Sc/B.Com).

3.1.2 Candidates for admission to the Ph.D. programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B'

ATTESTED



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Dr. Rangadhara Somayaji K S

Registrar

Yenepoya (Deemed to be University)

University Road, Deralakatte

Mangalore 575 018, Karnataka.

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in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

3.1.3 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the UGC, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.

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

3.1.5 A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non creamy layer) differently – abled, other categories of candidates who have cleared the M.Phil., and candidates who have cleared the MD/MS/DM/MCh/DNB/ MDS Course.

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

## **04 DURATION OF RESEARCH WORK**

4.1 Ph.D. programme shall be for a minimum period of three years, including course work and a maximum of six years.

### **4.2. Extension of Duration :**

4.2.1 Extension of time up to a maximum of one year may be permitted by the University, provided, Research Advisory Committee and the Board of Post Graduate Teaching & Research are satisfied that there are sufficient reasons for not completing the work within the stipulated time.

4.2.2 The women candidates and Persons 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. for up to 240 days.

ATTESTED



Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore-575 018, Karnataka.

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## 05 PROCEDURE FOR ADMISSION

### 5.1 Application Procedure

5.1.1 Application for enrolment for the PhD program shall be made in the prescribed forms (Annexure 1 :**Format of the Application for the Ph.D. Program**), which shall be made available at the office of the Registrar /website, Yenepoya (Deemed to be University), following a website/ newspaper notification of the same. The filled in application forms along with proposed area of work, routed through the proper channel, shall be submitted to the Registrar, Yenepoya (Deemed to be University), on or before the last date prescribed in the notification on payment of the requisite fee.

5.1.2 The candidate shall furnish the following information along with the application for enrolment :

- (i) Name of the department and Institution where the candidate proposes to work and conduct research
- (ii) Proposed research work – work outline
- (iii) No objection certificate from the Head of Department and Head of Institution if employed.

5.1.3 Admission to Ph.D shall be subject to passing the entrance test conducted by the Yenepoya (Deemed to be University). However, candidates who have qualified in the centrally conducted UGC-CSIR NET (including JRF/SLET/GATE/DBT/DST/DOE/AYUSH /teacher fellowship) exams are exempted from appearing in the entrance test. Candidates who have passed M.Phil. degree examination from any recognized University, with a minimum of 55% aggregate marks are also exempted from the entrance test.

### 5.2 Admission Procedure

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

ATTESTED  


Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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- 5.2.1 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.
- 5.2.2 Candidates with a minimum of 50% will be considered as eligible for the interview. An interview/*viva-voce* shall be organized by the Ph.D. Admission committee constituted by the Yenepoya (Deemed to be University) (Annexure 4: STRUCTURE OF THE Ph.D. ADMISSION COMMITTEE). For candidates who have not secured 50% in the entrance: in case of candidates belonging to general merit category a minimum of 45%, and in case of SC/ST/OBC category a minimum of 40% in the entrance exam is essential. However, the aggregate of both entrance exam marks and the interview marks cannot be less than 50% in these categories also.
- 5.2.3 The candidates are required to discuss their research interest/area through a presentation before a Ph.D. Admission Committee, duly constituted by the Yenepoya (Deemed to be University).
- 5.2.4 The interview/*viva voce* shall also consider the following aspects, viz. whether:
- a) the candidate possesses the competence for the proposed research
  - b) the research work can be suitably undertaken at the Institution/College
  - c) the proposed area of research can contribute to new/additional knowledge.
- 5.2.5 Applications, the results of the entrance exam, interview and the brief research proposals of the candidates will be placed before a Ph.D. Admission Committee constituted by the University. The Committee will examine and review the research proposal and if the committee *prima facie* finds the applicant qualified and suitable, will make recommendations to the University for provisional registration.

### 06. ALLOCATION OF RESEARCH SUPERVISOR

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

ATTESTED

Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.



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known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty/College/Institution on such terms and conditions as may be specified and agreed upon by the consenting Institutions/Colleges.

### 6.3 Eligibility criteria to become a research supervisor : (Annexure 12 : FORMAT OF THE APPLICATION FOR RECOGNITION AS RESEARCH SUPERVISOR / CO-SUPERVISOR FOR THE Ph.D. PROGRAM)

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

6.3.1 Any regular Professors in the departments of the constituent colleges / units of the University with at least five original research publications as first / second / corresponding author in refereed journals, and any regular Associate/Assistant Professor in the Post graduate departments of the constituent colleges / units of the university with a Ph.D. degree and at least two original research publications as first / second / corresponding author in refereed journals may be recognized as Research Supervisor. Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing. *In* departments where there are no eligible research supervisors for the PhD program, the Institution may relax the above condition for recognition of Professors/Associate Professor with additional degrees, viz., DM/MCh, as research supervisors, without applying any other clauses. However, for Assistant Professors with additional degrees, viz., DM/MCh, at least two original research publications is required for recognition as research supervisors.

6.3.2 Professors in the Post-Graduate departments of the constituent colleges / units of the Yenepoya (Deemed to be University) who do not have Doctoral degree, viz. DM / MCh / Ph.D., in the concerned/ related subject shall be deemed to be the recognized Research supervisors in their subjects provided they have at least 10 years of teaching experience after having acquired their Masters Degree of which 5 years shall be Post-graduate teaching in the relevant discipline. They also should have minimum five original research publications in indexed journals to his/her credit of which at least three as first / second / corresponding author, as evidence of active research involvement.

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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6.3.3 In any specialty, if a suitable research supervisor with adequate qualification fulfilling all the other criteria to become a Ph.D. research supervisor is not available are recognised research supervisor from the relevant / related subject of another faculty may be considered.

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

6.4.1 A research supervisor / Co-supervisor who is a Professor, at any given point of time shall not guide more than eight Ph.D. scholars.

6.4.2 An Associate Professor as Research supervisor can guide up to a maximum of six Ph.D. scholars

6.4.3 An Assistant Professor as Research Supervisor can guide upto a maximum of four PhD scholars.

6.4.4 Whenever the number of candidates registered under a Research Supervisor has reached the maximum, a Research Supervisor becomes eligible to supervise another Ph.D. candidate only after the submission of the thesis by any one of the Ph.D. candidates already registered under him/ her or a vacancy arises due to discontinuation of any registered candidate.

6.4.5 A Research supervisor recognized by more than one University, he /she shall give an undertaking of the number of candidates working under his / her guidance.


6.4.6 Co-supervisor working in an institution other than the constituent unit of the University (Refer GUIDELINES FOR RECOGNITION OF INSTITUTIONS AS RESEARCH COLLABORATORS FOR Ph.D PROGRAM and Annexure 2) should fulfil the requirements to the satisfaction of the Yenepoya (Deemed to be University) regarding their expertise.

6.4.7 A Research supervisor shall not undertake to offer guidance for Ph.D. work to any of his/her first degree relatives.

6.4.8 No Research supervisor shall enrol candidates for the award of Ph.D. Degree unless he/she has at least two years of service before retirement on superannuation. A Research supervisor who has more than two years of service before retirement may enrol candidates and continue as Research supervisor even after retirement in respect of such candidates.

6.4.9 The allotment/ allocation of research supervisor shall not be left to the individual student or teacher.

ATTESTED

  
Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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### 6.5 Change of Research Supervisor:

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

6.5.2 The Research Advisory Committee may consider the request-

(i) If the Scholar has completed two years of his research program and the Research supervisor is transferred to another area, the Co-supervisor can guide the scholar with the permission of the Research Advisory Committee.

(ii) If the Scholar is interested to move along with the Research supervisor in the event of the transfer of the Research Supervisor, the scholar will be permitted with the permission of the Research Advisory Committee.

(iii) In case the Research supervisor is leaving the Institution permanently or on deputation elsewhere or otherwise, for a period of more than one year, the candidate will be allotted to the co-supervisor or a new research supervisor.

6.5.3 In case of relocation of Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The scholar will however give due credit to the parent Research Supervisor and the institution for the part of research already done.

### 07. Ph.D. COURSE WORK

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

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

ATTESTED



Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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- 7.2 The course work shall have 16 credits consisting of 4 papers.
- 7.3 A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph..D. degree.
- 7.4 All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.
- 7.5 The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Research Advisory Committee of the research scholar.
- 7.6 All candidates admitted to the Ph.D. program shall be required to complete the course work prescribed by the Department during the initial one or two semesters.
- 7.7 Candidates already holding M. Phil. degree and admitted to the Ph.D.programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.
- 7.8 Evaluation of the Ph.D. course work will be done by conducting a Ph.D. course work examination by the University.
- 7.9 A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.
- 7.10 If found necessary course work may be carried out by doctoral candidates in sister departments/constituent units within the University for which due credit will be given to them.

ATTESTED

*be*

Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deraiakatte  
Mangalore 575 005, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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

### 08 RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS:

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


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

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

- 8.2 A research scholar shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institution/College with a copy to the research scholar.(Annexure 7: FORMAT OF THE SLIDES FOR THE PROGRESS REVIEW)
- 8.3 In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the Institution/College with specific reasons for cancellation of the registration of the research scholar.

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

- 9.1 Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in sub-clauses above, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within a reasonable time, as stipulated by the Institution concerned based on these Regulations.
- 9.2 Prior to the submission of the dissertation/thesis, the scholar shall make a presentation in the Department before the Research Advisory Committee of the Institution concerned, which

ATTESTED  
  
Dr. Langadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the Research Advisory Committee.

- 9.3 Ph.D.scholars must publish at least one original research paper in National or International, indexed journal and make two paper presentations at conferences/ seminars before the submission of the dissertation/thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.
- 9.4 The candidate will be eligible to submit the final summary on getting approval from the Research Advisory Committee.(Annexure 8: FORMAT OF THE FINAL SUMMARY /SYNOPSIS)
- 9.5 Prior to submission of the final summary (synopsis) of the thesis, the student shall make a presentation in the Department that may be open to all the faculty members and research students for getting a feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the supervisor.
- 9.6 All the Ph.D. scholars shall submit an application along with the final summary (six copies) containing the summary of the research work done, duly signed by the Research Supervisor and Co-Research Supervisor, to the Controller of Examinations at least three months before submission of final thesis. (Annexure 9: FORMAT OF THE APPLICATION FOR THESIS SUBMISSION)
- 9.7 “Certificate of Plagiarism check” of the final summary endorsed by the Research supervisor and research co-supervisor shall be submitted along with the final summary.(Annexure 10: DETAILS OF PLAGIARISM CHECK)
- 9.8 The Controller of Examinations, shall proceed with the constitution of panel of three Examiners (including Research Supervisor as internal examiner) from a panel of not less than ten experts submitted by the Research Supervisor, and approved by the Board of Examiners for the adjudication of the Ph.D. thesis.
- 9.9 The Controller of Examinations shall forward the summary to two appointed external examiners. Upon receipt of acceptance in writing by the external examiners the Controller of Examinations shall then send the thesis to them for evaluation.
- 9.10 **The candidate shall submit seven copies of his/her thesis along with a soft copy (CD) within 6 months after submission of the summary duly signed by the research**

ATTESTED



Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

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**Supervisor and Co-supervisor to the Controller of Examinations.** (Annexure 11 :  
FORMAT OF THE THESIS). In case the research scholar fails to submit the thesis within  
six months after the submission of final summary, an extension may be provided with  
payment of a penal fee.

9.11 The final viva voce (defense) shall be conducted within six months from the date of  
submission of the thesis.

9.12 A candidate shall also submit along with his/her thesis-

- a) “No due certificates” from the Head of Department and Head of the Institution where  
he/she has worked, from the University Librarian and from the Finance Officer of the  
Yenepoya (Deemed to be University).
- b) Research papers published by him/her related to their research topic, during his / her  
course as Ph.D. scholar.

9.13 While submitting for evaluation, the thesis shall have an undertaking from the research  
scholar and a certificate from the Research Supervisor attesting to the originality of the  
work, vouching that there is no plagiarism and that the work has not been submitted for the  
award of any other degree/diploma of the same Institution where the work was carried out,  
or to any other Institution.

9.14 The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research  
Supervisor and at least two external examiners, who are not in employment of the  
Institution/College, of whom one examiner shall be from outside the country. The *viva voce*  
examination, based among other things, on the critiques given in the evaluation report, shall  
be conducted by the Research Supervisor and at least one of the two external examiners, and  
shall be open to be attended by Members of the Research Advisory Committee, all faculty  
members of the Department, other research scholars and other interested experts/  
researchers.

9.15 The public *viva voce* of the research scholar to defend the dissertation/thesis shall be  
conducted only if the evaluation report(s) of the external examiner(s) on the  
dissertation/thesis is/are satisfactory and include a specific recommendation for conducting  
the *viva-voce* examination. If one of the evaluation reports of the external examiner in case  
of Ph.D. thesis, is unsatisfactory and does not recommend *viva-voce*, the Institution shall  
send the thesis to another external examiner out of the approved panel of examiners and the  
*viva-voce* examination shall be held only if the report of the latest examiner is satisfactory.  
If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the  
research scholar shall be declared ineligible for the award of the degree.

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

### **10 . DEPOSITORY WITH INFLIBNET:**

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

10.2 Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2016.

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

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

### **LIST OF GUIDELINES AND ANNEXURES**

#### **GUIDELINES :**

1. GUIDELINES FOR ELIGIBILITY CRITERIA FOR ADMISSION (CLAUSE NO. 3)
2. GUIDELINES FOR FULL / PART TIME CANDIDATES (CLAUSE NO. 4)
3. GUIDELINES FOR RECOGNITION OF INSTITUTIONS AS RESEARCH COLLABORATORS FOR Ph.D PROGRAM (CLAUSE NO. 6.4.6)

#### **ANNEXURES :**

Annexure 1: FORMAT OF THE APPLICATION FOR THE Ph.D. PROGRAM

Annexure 2: LIST OF FACILITIES AND FACULTY AVAILABLE IN THE INSTITUTES APPLYING FOR RESEARCH COLLABORATION FOR THE Ph.D. PROGRAM AT YENEPOYA (DEEMED TO BE UNIVERSITY)

**ATTESTED**  
*he*  
Dr. Jagadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka



## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020


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- Annexure 3: STRUCTURE OF THE Ph.D. ADMISSION COMMITTEE (Clause NO. 5.2.2)
- Annexure 4: SCHEME OF Ph.D. COURSE WORK, EXAMINATION , EVALUATION AND DECLARATION OF RESULTS (CLAUSE NO. 07)
- Annexure 5: FORMAT OF THE WORK PROPOSAL SYNOPSIS
- Annexure 6: FORMAT OF THE HALF YEARLY PROGRESS REPORTS
- Annexure 7: FORMAT OF THE SLIDES FOR THE PROGRESS REVIEW - RESEARCH ADVISORY COMMITTEE MEETING
- Annexure 8: FORMAT OF THE FINAL SUMMARY (SYNOPSIS)
- Annexure 9: FORMAT OF THE APPLICATION FOR THESIS SUBMISSION
- Annexure 10: FORMAT OF THE CERTIFICATE OF PLAGIARISM CHECK
- Annexure 11: FORMAT OF THE THESIS
- Annexure 12: FORMAT OF THE APPLICATION FOR RECOGNITION AS RESEARCH SUPERVISOR / CO-SUPERVISOR FOR THE Ph.D. PROGRAM

### GUIDELINES

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

1. Teacher candidates, who fulfill the qualifications specified in the regulations and are regular (completed probation period) (i) teaching faculty (ii) non teaching staff in a department / Constituent college of the Yenepoya (Deemed to be University) may be permitted to register himself / herself as a part time scholar for Ph.D degree under a Supervisor recognized by this University.
2. Part time candidates shall be required to work under the supervisor directly. A period of 30 days maybe availed by internal part time candidates during the prescribed period of research work for data collection, discussion, etc. This period shall be treated as study leave subject to approval of the University. This leave can be availed to a maximum of 10 days per year not exceeding 30 in the first three years of the duration of the PhD study. The Supervisor shall submit certificate of attendance of candidate (with dates) to the Registrar. In lieu of this study leave

  
Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

# Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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facility for the Ph.D program, candidates who avail this leave shall be required to give an bond to serve the institution for a period of 2 years after completion of their PhD.

3. Candidates possessing any one of the qualifications prescribed under the regulations from this University or from any other University recognized as equivalent thereto and employed as a teacher in National/State level Institutions recognised the statutory bodies or Universities in India, may be permitted to register for the Ph.D program on a part time basis provided, they fulfill the qualification stipulated and permission / No Objection Certificate is obtained from the respective organizations/ Institutions/ Universities for pursuing Ph.D Degree of this University while continuing in employment.

## GUIDELINES FORFULL / PART TIME CANDIDATES (CLAUSE NO. 4)

### 1. Full time Candidates

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

### 2. Part time candidates

- a. A part time PhD candidate is one who is employed and pursues his/her research work leading to Ph.D. degree as a part time researcher in Institutes affiliated to Yenepoya University or recognised as research collaborator by Yenepoya (Deemed to be University), in addition to his/her duties as an employee. Such Ph.D scholars are required to confirm their part time status by a relevant certificate and no objection from their employer which is endorsed by the research supervisor, Head of the

ATTESTED



Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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Department and Head of the Institution to the effect that they are part time research scholars.

- b. Candidates registered on part-time basis should be in regular contact with the concerned research supervisors.
  - c. Candidates registered on part-time basis and the study setting is not Yenepoya (Deemed to be University) campus or neighbouring areas should work at least for a minimum of 150 DAYS during the research period directly under the supervision of the Supervisor of this university. In addition to the Research supervisor from this University, they shall have a Co-research supervisor from the selected study setting recognised by the Yenepoya (Deemed to be University). The Research supervisors of the candidate shall submit the certificate of attendance (with dates) to the Registrar along with the half-yearly progress reports.
3. A candidate can shift over from full time to part time and vice versa within the University on approval from the Research Supervisor, Head of Institution and Board of Post Graduate Teaching and Research, depending on the merit of the case, provided he/she fulfils the criteria laid down by the University and obtains prior permission from the Registrar of the University.
  4. The Vice Chancellor may on the recommendation of the research Supervisor and Head of the Institution permit a PhD scholar to work elsewhere for six months at a time, if it is in the interest of the research work.
  5. The Head of the Institution on the recommendation of the research research supervisor may grant two weeks leave to a full time candidate during the calendar year.

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

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

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**Dr. Langadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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

- Should preferably be a Centre with Academic excellence/ Institutes of National importance.
- Should have been in existence and actively functioning for at least 5 years and recognised by the statutory bodies.
- Should preferably, be a centre of research activity as evidenced by ongoing research projects funded / sponsored by any reputed funding agencies.
- Should have published research papers in peer reviewed scientific journals or indexed journals.
- Should have specifically equipped research laboratories with the requisite infrastructure and facilities for the proposed research project leading to Ph.D. degree.

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

### ANNEXURE 1:



University Road, Deralakatte, Mangalore, 575018, India  
Phone & Fax: +91 824 2203943, +91 824 2203644 +91 824 2204668 Extn: 2037  
Email: [registrar@yenepoya.org](mailto:registrar@yenepoya.org), [reachus@yenepoya.org](mailto:reachus@yenepoya.org)  
Website : [www.yenepoya.cdu.in](http://www.yenepoya.cdu.in)

**APPLICATION FOR ADMISSION TO Ph.D PROGRAM 2021-2022**  
(To be filled in by the Applicant in BLOCK letters)

ATTESTED

  
Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
Regulations - 2020**

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**Applications should be routed through the proper channel – Head of department, Head of  
Institution**

*[Incomplete application will be rejected]*

**Last date for submission of the completed application with necessary documents**

**31.12.2020**

Passport size  
photo to be  
pasted here

**GENERAL INFORMATION:**

- 1) Name :  
2) Sex : Male/ Female  
3) Date of Birth : Day\_\_\_\_Month\_\_\_\_\_Year\_\_\_\_\_  
4) Place of Birth Place :  
State :  
Country :  
5) Religion :Hindu / Christian / Muslim Any other  
(specify)  
6) Category (include certificate) : General / SC / ST / OBC/ Physically  
handicapped  
7) Marital Status : Married / Single  
8) Mother Tongue:  
9) Nationality (*Country of Origin*) :  
10) Belong to which state :

Passport No:

Valid Until:

Issued by:

- 11) If Indian Citizen, whether NRI :  
12) Father's Name :  
Mother's Name :  
Guardian's Name (only if Father is deceased):  
Relationship :  
13) Profession of Father/ Guardian :

13) Official Address :

**ATTESTED**



**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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Yenepoya (deemed to be University) – PhD Program --PhD  
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Pin :

Fax :

Phone :

Email :

Aadhar Number :

Permanent Address :

Pin :

Fax :

Phone :

Email :

14) Location of residence (tick the appropriate) : Rural / Urban

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15) Name and Address of local Guardian if any :

Pin :

Phone :

Email :

15) Blood Group :

16) Identification mark :

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Derlakatte  
Mangalore 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
Regulations - 2020**

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17) References: *(At least two person holding responsible positions and not related to the Applicant)*

- I) Name :
- Address :
- Phone :
- Email :
- Fax :
- II) Name :
- Address :
- Phone :
- Email :
- Fax :

**I. A. Details of academic qualifications :**

Degrees	Specialty	Year of Joining	Year of Passing	Institution Studied	University	Percentage Marks Obtained
Graduate						
Postgraduate						
Any other Additional Qualification						

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

# Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

(Please attach attested copies (gazetted officer) of statement of marks in support of the above details)

## B. Name and Address of the Institution

I. Currently employed :

If employee of Yenepoya (Deemed to be University)

Date of joining :

II. Last studied :

## II. DECLARATION BY THE APPLICANT

I wish to apply for admission to the PhD Program of Yenepoya (Deemed to be University), Mangalore, as \_\_\_\_\_ (Full time / Part time) scholar and I declare that to the best of my knowledge and belief, the above particulars are true. I agree that the admission is at the sole discretion of the management.

I further agree, if admitted, to conform to the rules and regulations at present in force or that may thereafter be made for the administration of the college and hostel. I undertake, so long as I am a student of the university, I will not do anything unworthy of a student or anything that will interfere with the orderly working and discipline.

Place : \_\_\_\_\_

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

Applicant's Signature

**(Kindly submit the completed application with all the necessary documents as given in the check list and tick (✓) against 'yes' in the check list if the document is submitted**

### CHECKLIST OF DOCUMENTS TO BE SUBMITTED

Applicant + Registration fee Rs. 3500/- (Non- Refundable) DD/ Present Check

(DD in favour of Yenepoya deemed to be University, payable at Mangalore) :

DD Details :  
I recent passport size photo to be pasted + 2 copies attached : Yes/ No  
Attested copy of Graduate degree certificate and marks cards : Yes/ No  
Attested copy of Postgraduate degree certificate and marks cards : Yes/ No  
Research proposal submitted (in triplicate) in prescribed format : Yes/ No

ATTESTED

Dr. Mangadhara Somayaji K S

Registrar

Yenepoya (Deemed to be University)

University Road, Deralakatte

Mangalore 575 018, Karnataka.




**Yenepoya (deemed to be University) – PhD Program --PhD  
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One Soft copy (CD labelled) of the Research proposal : Yes/ No  
No objection certificate from present employer : Yes/ No  
For applicants who are employed at the time of submission of applicaton  
Application is forwarded by (signature and seal  
Head of Department : Yes/ No  
Head of Institution : Yes/ No

**ATTESTED**

  
**Dr. Rangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
Regulations - 2020**

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**Entrance Examination**

Date	:	Monday, February 15, 2021
Type of Questions	:	Questions with multiple choice answers.
Number of questions	:	60
Total Marks	:	60
Research Methodology	:	30
Subject specific	:	30

FOR OFFICE USE ONLY

Application completed is received on:

Checked by :

Registration No :

Receipt No :

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**ACKNOWLEDGEMENT SLIP**

*(Please bring this slip with you when you are called for interview)*

Received the completed application for admission to the PhD Program, at Yenepoya (Deemed to be University), for the academic year 2021-2022 from Dr./ Mr. / Ms.

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Allotted application no.

Registrar  
Yenepoya (Deemed to be University)

**ATTESTED**  


**Dr. Jangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore - 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
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**FORMAT FOR THE WORK PROPOSAL FOR Ph.D PROGRAM**

(TO BE SUBMITTED ALONG WITH THE COMPLETED APPLICATION IN TRIPLICATE WITH A SOFT COPY ON A CD LABELLED WITH NAME OF THE APPLICANT, SUBJECT AND PROPOSED AREA OF WORK)

**Name of the Applicant** :

**Official Address** :

**Permanent Address** :

**Subject in which the work is proposed** :

**Proposed title of the research** :

**Introduction** (Present the literature survey and the significance of the problem in simple terms leading to the aim and objectives of the proposed work)

**Proposed Aim** :

**Proposed Objectives** :

**Social relevance of the work** :

**Methods** (Outline the experiments that you will use to test your hypotheses):

**Proposed timeline** (Summarize your work plan and milestones for completion of your project):


**Clearance certificates, Health & Safety Requirements** (list the permits that are required for the study, e.g., human ethics, animal ethics, biosafety permission, validation of tools if any, etc.)

**NO SAMPLE COLLECTION / DATA COLLECTION CAN BE DONE TILL THE START OF THE PROJECT.**

**PROPOBABLE REQUIREMENTS:**

- Equipment needed
- Consumables needed

**ATTESTED**

  
**Dr. Jangadhara Somayaji KS**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

# Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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- Travel
- Animal Housing, Glasshouse Space needed
- Field Station Facilities
- Budget estimate

Signature of the Student :

Date :

## ANNEXURE 2:

### LIST OF FACILITIES AVAILABLE IN THE INSTITUTES APPLYING FOR RESEARCH COLLABORATION FOR THE PHD PROGRAMAT YENEPOYA (DEEMED TO BE UNIVERSITY)

#### 1. INFRA STRUCTURE OF THE ORGANIZATION

SPACE :

NO. OF LABORATORIES :

ANIMAL HOUSE FACILITIES :

DIMENSIONS OF THE LABORTORIES :

EQUIPMENT AVAILABLE :

TECHNIQUES USED IN THE LAB :

HOSPITAL FACILITIES :

#### 2. FOR Ph.D SCHOLARS:

No. of students can be accommodated : \_\_\_\_\_ candidates / year

#### WORKING SPACE AVAILABLE FOR THE PhD CANDIDATES:

HOSTEL ACCOMODATION :

FUNDS FOR THE RESEARCH SCHOLARS :

LIBRARY FACILITIES

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
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BOOKS : NO.'S E BOOKS.

NO. OF JOURNALS SUBSCRIBED : hard copies (list to be enclosed)  
(Pertaining to the subject of the candidate) e journals (indexed, list to be provided)

SEMINAR HALL : Seminar Hall - seating  
capacity  
Board room - capacity-

**3. QUALIFIED STAFF/ FACULTY:**

NO. OF FACULTY MEMBERS:

With qualification      Doctorate :  
   Masters :  
   Graduate :

DETAILS OF THE FACULTY : LIST TO BE ENCLOSED

QUALIFICATIONS

RESEARCH EXPERIENCE

TEACHING EXPERIENCE

LIST OF PUBLICATIONS

RECOGNISED RESEARCH SUPERVISORS

IN OTHER UNVIERSITES

NO. OF STUDENTS CURRENTLY GUIDING

NO. OF STUDENTS WILLING TO SUPERVISE AS CORESEARCH SUPERVISOR

} Include the curriculum vitae of all the  
Doctoral faculty in the center.

**4. IF THE INSTITUTE RECOGNISED/ ACCREDITED BY OTHER INSTITUTES FURNISH**

DETAILS: Yes/ No

**ATTESTED**  


Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Mangalore  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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RECOGNITION LETTERS : Copies of the recognition letters to be included

NO. OF STUDENTS REGISTERED FOR Ph.D WITH THOSE UNIVERSITIES:

5. COLLABORATIONS IN THE LOCAL AREA (if any) :

6. FUNDING AGENCY GRANTS IF ANY:

(ENCLOSE DETAILS)

7. ACADEMIC ACTIVITIES :

### **FORMAT OF THE CURRICULUM VITAE OF FACULTY MEMBERS WITH DOCTORAL (PhD) QUALIFICATION**

NAME OF THE FACULTY MEMBER :

AGE & DATE OF BIRTH :

ADDRESS (WORK PLACE) & CONTACT DETAILS :

Telephone number, email ID

QUALIFICATIONS :

(Details of UG, PG, PhD, PDF)

RESEARCH EXPERIENCE :

TEACHING EXPERIENCE (after acquiring PG degree) :

UG teaching experience

Post graduate teaching experience

LIST OF PUBLICATIONS : List of all publications + Reprints of at least 5

publications of which three should be first author

corresponding author.

Enclose reprints of the papers in chronological order

ATTESTED  


Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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RECOGNISED RESEARCH SUPERVISOR IN OTHER UNVIERSITES :  
YES/NO

(If so enclose recognition letters)

NO. OF STUDENTS CURRENTLY GUIDING :

(If so enclose details of the students)

NO. OF STUDENTS WILLING TO BE CORESEARCH SUPERVISOR :

AT YENEPOYA (DEEMED TO BE UNIVERSITY)

AREA OF EXPERTISE :

### ANNEXURE 3:

#### **STRUCTURE OF THE PH.D. ADMISSION COMMITTEE (CLAUSE NO. 5.2.2)**

The **Ph.D Admission Committee** shall consist of the following:

- |   |                 |
|---|-----------------|
| ○ Vice Chancellor...  | Chairperson     |
| ○ Dean of concerned Faculty...  | Member          |
| ○ Head of the Department concerned...   | Member          |
| ○ Chairperson, BOS concerned...   | Member          |
| ○ One External Expert not below the rank of Professor...  | Member          |
| ○ Two Research Supervisors of the Department concerned,<br>▪ Nominated by the Vice- Chancellor... | Members         |
| ○ Deputy Director, MPhil Ph.D Program   | Member          |
| ○ Registrar   | Member Convener |

ATTESTED



Dr. Langadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

**Yenepoya (deemed to be University) – PhD Program --PhD  
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**ANNEXURE 4 :**

**SCHEME OF PH.D. COURSE WORK, EXAMINATION, EVALUATION AND  
DECLARATION OF RESULTS (CLAUSE NO. 07)**

1. The scheme for PhD Course Work Examination to be conducted by the University shall be as follows:
  - a) Three written papers (I, II and III) each of three hours duration and each carrying maximum of 100 marks and
  - b) Paper IV involving review of Literature and Planning and presentation of the synopsis of the Proposed Research Work with a Tentative Title (200 marks)

<b>Papers</b>	<b>Particulars</b>	<b>No. of Credits</b>	<b>Marks</b>
Paper 1	Research Methodology and Biostatistics	4	100
Paper 2	Theoretical Foundations	4	100
Paper 3	Recent Developments	4	100
Paper 4	Reviewing of Literature and Planning of the Proposed Research Work with a Tentative Title	4	200
	Total	16	500

2. The syllabi for the written papers for each candidate shall be prescribed by the Yenepoya (Deemed to be University) and should be approved by the concerned subject experts of the University. The Syllabus for the three theory papers of PhD Course Work Examination, shall be approved by the Board of Studies of the subject of the candidate

**ATTESTED**  


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Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.



## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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and shall be communicated to the Controller of Examination of the University as well as to the candidate, the concerned Research supervisor and Co-Research supervisor, at least one week earlier to the start of the Pre-PhD course work.

### 3. PREPARATION OF SYLLABUS PAPER II & III:

Preparation of the syllabus : By Research Supervisor and approved by Board of studies of the subject.

#### NOTE FOR THE RESEARCH SUPERVISOR/DEPARTMENT REGARDING PREPARATION OF THE SYLLABUS

A structured syllabus consisting of six topics related to the field, topic of research and related methodology of the candidate shall be selected. The sub headings under each topic is to be specified.

The syllabus may include : General aspects of the topic of research; Literature survey  
Topic of research; Related methodology

#### b) PhD Course Work Examination - Setting of Question paper

1. The question papers I, II and III shall be set by the external examiner and submitted to the University a week before the exam.
2. Candidates with M Phil qualification after a P.G. degree are exempted from appearing for Pre-Ph.D examination. However, candidates with M Phil qualification shall defend their research proposal before a panel of experts constituted by the University on the recommendations of the Board of Post Graduate Teaching and Research within 3 months of provisional registration for Ph.D program.

#### 3) Panel of examiners for the Ph.D. Course Work Examination

##### For Paper I

A panel of full time teachers of Yenepoya (Deemed to be University) trained in Research methodology and Biostatistics will be formed from a list of names provided by the Deans of all the faculties. This panel will be approved by the Board of Post Graduate Teaching and Research and Board of Examiners for preparing the theory paper I for the Pre Ph.D exam.

##### For Paper II, III and IV

ATTESTED  
  
Dr. Rangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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The Ph.D Board of Studies shall prepare a panel of examiners from the names suggested by the concerned Research supervisors and recommend the same to the Board of Examiners for approval. The Controller of Examination will then appoint two (one internal and one external) examiners for the evaluation of the PhD Course Work Examination answer scripts and conduct of paper IV.

### 4) Conduct of Ph.D Course work examination

#### For Paper I

From this panel, the Controller of Examinations will choose one person each for the relevant sections on Research methodology and Biostatistics and receive two sets of question paper from which he shall select any one, on the day of the examination.

#### For Paper II, III and IV

The External Examiner appointed by the Controller of Examinations shall set one subject paper for paper II and III and send their respective question papers in sealed covers to the Controller of Examinations who will conduct the theory examination.

The examiners will evaluate the synopsis (paper IV) submitted by candidates who have successfully cleared the written papers. The candidates will do a presentation of their work proposal synopsis for paper IV in presence of the examiners.

There shall be double valuation of the answer scripts of Papers I, II, III and IV (synopsis evaluation). The mark lists shall be sent by the examiners directly to the Controller of Examinations for announcement of results.

If the difference of the marks in the valuation between the external and the internal examiner exceeds 15%, the concerned answer scripts will be valued by a third examiner selected from the panel of examiners. The marks awarded by the panel shall be sent to the Controller of Examinations.

### Ph.D. Course Work Examination

Ph.D. Course Work Examination will be conducted at the end of the course work as follows

Dates of the Pre-Ph.D. examination shall be notified by the Controller of Examinations

### PAPERS FOR THE EXAMINATION :

ATTESTED

  
Dr. Rangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

## Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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Paper I	Research Methodology & Biostatistics	duration : 3 hrs	Marks 100
Paper II	Theoretical Foundations	duration : 3 hrs	Marks 100
Paper III	Recent Developments	duration : 3 hrs	Marks 100
Paper IV	Synopsis preparation and presentation		Marks 200

### **PATTERN OF QUESTION PAPER I :**

#### **Paper I Research Methodology (60 marks)**

- MCQ 15 No.'s X 1 mark
- Short essay : 5 No.'s X 5 marks
- Long Essay : 2 No.'s X 10 marks

#### **Biostatistics (40 marks)**

- MCQ : 10 No.'s × 1 mark
- Short essay : 4 No.'s × 5 marks
- Long Essay : 1 No.'s × 10 marks

### **Panel of Examiners for Paper I :**

Internal Examiner (1) Appointed from Yenepoya (Deemed to be University)

External Examiner (1) Appointed from other Universities

### **PAPER II:**


**Pattern of Paper II & III :** Subject related to the field of research (100 marks)

Long Essays : 5 No.'s × 20 marks

### **Classification of Successful Candidates:**

The results of successful candidates at the end of the course work shall be classified on the basis of the Grade Point Average (GPA) obtained in all the papers. The Grade Point (GP) in a paper and the Grade Point Average (GPA) at the end of the course work shall be computed as follows:

The grade points (GP) in a paper shall be assigned on the basis of actual marks scored in that course as per the table below:

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Dr. Rangadhara Somayaji KS  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Yenepoya,  
Mangalore 575 018, Karnataka.

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<b>% Marks</b>	Less than 55	55	56<60	61<65	66<70	71<75	76<80	81<85	86<90	91<95	96<100
<b>Grade Points</b>	Fails	5.5	6	6.5	7	7.5	8	8.5	9	9.5	10

The Grade Point Weights (GPW) shall then be calculated as the product of the grade points earned in the paper and the credits for the paper. The total GPW for a course is obtained by adding the GPW of all the papers.

The GPA shall then be computed by dividing the total GPW of all the papers of study by the total credits for the course.

### ILLUSTRATION

Papers	P1	P2	P3	P4	Total
Maximum Marks	100	100	100	200	500
Marks obtained	67	73	58	152	350
% Marks Obtained	67	73	58	76	-
Grade Points Earned (GP)	7	7.5	6	8	-
Credits for the Paper (C )	4	4	4	4	16
GPW = GP x C	28	30	24	32	114

GPA = Total GPW / Total Credits = 114/16 =7.1

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent GPA of 5.5, in the UGC 7 - point scale in the course work in order to be eligible to continue in the programme and submit the dissertation/thesis.

In case the candidate is not successful in the Ph.D. Course Work Examination in the first attempt, he/she may be given one more chance to appear for the paper in which the candidate has failed anytime when the next the examination is scheduled on payment of the requisite fees of Rs. 500/-. If the candidate is not successful in the PhD Course Work Examination, even in the second appearance, his/her provisional registration shall stand cancelled. Registration of the candidate will be confirmed only after they pass the Ph.D. Course Work Examination.

### ANNEXURE 5 :

#### **FORMAT OF THE WORK PROPOSAL SYNOPSIS**

1. Covering Page : Title of the synopsis

Name and Official address of Ph.D student, Research supervisor and  
Co-Research supervisor

**Contents of the synopsis:**

2. Format : Font size : 12 Line Spacing : 1.5 Font style : Times New Roman
3. Introduction
4. Literature survey: International scenario, National scenario, Local scenario (if any).
5. Lacunae in the literature
6. Aim of the study
7. Objectives of the study
8. Social relevance of the study
9. Methods and Materials : Sample size, Subject / patient selection criteria (inclusion, exclusion),

Format of the following:

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Dr. Rangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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Request letter for participation in the study

Consent letter of subject / patient

Questionnaire if any

10. Study plan : in the form of a flow chart
11. Methodology in detail with relevant references
12. Grading of the questionnaire
13. Statistical methods which will be used for analysis of the data (in detail)
14. Budget for the research project – in the form of a table
15. Time line - Gantt Chart.
16. Signatures of the Ph.D student, Research supervisor and Co-Research supervisor
17. Reference list: minimum 25-30 references with more preference for review articles preferably from the last five years.

### Note:

- **References should be quoted throughout the synopsis and numbered.**
- **The reference list should be in Vancouver style.**
- **The synopsis should be spiral bound.**
- **For the Paper IV examination - Two copies of the synopsis should be submitted to the Office of the Deputy Director MPhil PhD Program before the deadline specified by the Yenepoya (Deemed to be University).**
- **Synopsis should have a covering letter addressed to the Controller of exams and routed through the proper channel- Research Supervisor, cosupervisor, HOD of the department of the candidate, Principal of the Institution and Registrar. For external candidates the covering letter should be forwarded by the HOD and Principal of their workplace as well.**

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Dr. Mangadhara Somayaji KS  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 012, Karnataka.

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- A soft copy of the synopsis on a CD – labeled with: Title of the synopsis, name of the program with the batch/year (Ph.D Program/ July 2011) ; Name of the Student, Supervisor, Co-supervisor. CD should be submitted in CD cover.

## ANNEXURE VI



University Road  
Deralakatte Mangalore - 575 018  
Ph: 0824-2204676/68/69/71  
Fax: 0824-2203943

### EVALUATION OF HALF-YEARLY PROGRESS REPORTS SUBMITTED BY THE RESEARCH SCHOLARS PURSUING DOCTOR OF THE PHILOSOPHY (Ph. D.) PROGRAM

**Progress Report No. :** I II III IV V VI VII VIII IX  
(Tick (√) the appropriate no.)

**Duration of the work**  December 20 to May 20  
**Fill the year and tick the**  June 20 to November 20  
**appropriate duration**

---

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte Mangalore

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<b>Name of the Research Scholar</b>	
<b>Name of the Research Supervisor</b>	
<b>Name of the Research cosupervisor</b>	
<b>Year of Admission</b>	
<b>Registration No.</b>	
<b>Faculty</b>	
<b>Discipline/Subject</b>	
<b>Title of the Research Topic</b>	
<b>Recommendation from the research supervisor and cosupervisor on the progress of the candidate.</b>	The progress of the Mr./Ms./Dr.
	is good / satisfactory / not satisfactory (justify)

Signature of Research Supervisor with date :

Signature of Research Co supervisor (if any) with date :

**HALF YEARLY PROGRESS REPORT - Ph. D. PROGRAM**

**Progress Report No. :**                      I      II      III      IV      V      VI      VII      VIII  
IX  
(Tick (√) the appropriate no.)

**Duration of the work**                       December 20                      to May 20  
**Fill the year and tick the**                       June                      20                      to November 20  
**appropriate duration**

<b>Name of the Research Scholar with affiliation</b>	
<b>Name of the Research</b>	

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**Dr. Rangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.



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**Supervisor  
with affiliation**

**Name of the Research  
cosupervisor with affiliation**

**Title of the research project :**

**Aim and objectives, Hypothesis (if any)**

**1. Review of literature:** Latest literature reviewed with a note on the relevance of each literature to the proposed project and a summary of the literature reviewed during the said duration.

**2. Proposed work in the said duration :**

**3. Work that was done in the said duration:** (standardization of techniques, validation of the tools, etc., including data collection and statistics)

**4. Outcome of research work in the said duration:**

Summary of the new data that is obtained in the said duration. Figures and tables, labeled appropriately as per the guidelines discussed during the Ph.D course work, should be included. Figures and tables should be self explanatory with footnotes/legends. The interpretation of the data in the tables and figures should be written with every table/figure, and the number of the table/figure should be cited in the text. Discussion of the obtained data with the available literature should be included wherever possible.

**5. Publications accepted / communicated / manuscripts ready for submission :**

Should be enclosed with the report.

Already published papers in the previous terms must be mentioned in Vancouver style (need not submit hard copy if already submitted) mention which part of the research project (objective) it is related to and the date of publication/acceptance.

**6. Over all progress:** in tabular form. Add as many rows as the no. of objectives the study has.

Sl. No.	Research objectives	Status (completed/ongoing/not completed)	Outcome (published/unpublished)
1.			
2.			

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Dr. Rangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Page 41

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**7. Plan of work for the next six months:** :

Signature of Candidate with date :

Signature of Research Supervisor with date :

Signature of Research Co supervisor (if any) with date :

**ANNEXURE 7 :**

**FORMAT OF THE SLIDES FOR THE POWER POINT PRESENTATION FOR THE  
PROGRESS REVIEW**

The candidate should be accompanied by his/her Supervisor and Co-supervisor for the presentation

**INSTRUCTIONS**

**THE REVIEW PRESENTATION SHOULD BE CONSISTENT WITH THE REPORT**

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

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## SUBMITTED

- The slides must be numbered.
- Font size for the slides : Title 32 and bold; text 28; Font type : Arial / Calibri; No. of lines : **not more than 10 lines / slide**
- **Background colour : white background with black text or dark blue background with white text**
- The references cited in the following sections : Introduction and background, Literature survey, Present status -International, national and local scenarios, discussion, **should be in Harvard style** (Author name, year) example : (Vinitha *et al.*, 2015)
- **The time limit: 15 minutes maximum.**
- **Maximum number of slides :** for the presentation is 30 as described below.
- **Tables should have a title on top of the table and footnotes below the table**
- **Figures should have title and legends below.**
- **Tools, questionnaires, reports of tool validation, raw data, updated log book should be available with the candidate during the presentation**

The slides for the PowerPoint presentation should be prepared on the following side headings

## FORMAT OF THE SLIDES:

### Order of topics for presentation

### Contents

1. Title of the research project, Names and addresses of the Candidate, Supervisor and Co-supervisor for the study.
2. **Action taken against the comments of the previous review – Make a table with the comments of the previous review and the action taken against the comments.**  
**NOTE : Do not just paste the comments given.**
3. **Aim, Objectives (should be able to tell without referring to the slide)**
4. **Methodology** – Sample size, selection criteria, tests assays to be done  
Study design - in the form of a flow chart  
Statistical analysis of the data
5. **Latest literature reviewed** : in a tabular form with the relevance of the article in connection with the project.
6. **Results and conclusions far:**  
Objective wise - Status of the already completed objectives which have been presented in the earlier presentations – Published or not published.  
If published the details of the publication in Vancouver style. Impact factor (Thomson Reuters) of the journal has to be mentioned.  
If unpublished : Justify and identify the journal to which it will be communicated.
7. **Results of the said duration:**  
Objective, work done, results supporting tables and figures.  
Tables and figures as given in the half yearly progress report. Tables and figures should be self explanatory.  
**NOTE : Tables and figures should be made by the PhD scholar using data relevant**

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakki,  
Mangalore 575 018, Karnataka.

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to the objective from that obtained in the statistical software. Do not use the tables given by the statistical software.

Discussion of the obtained results in the said duration – comparison with results from literature such as comparable, not comparable and possible causes for this must be known and relevant papers must be available during the presentation.

8. **The time-line (Gantt chart) of the study (proposed in the synopsis with work accomplished so far marked on the time line.) Indicate the current status of the work**

9. Proposed work for the next six months of the study duration

**Maximum no. of slides : 30**

**NOTE : The above mentioned 9 side headings should be presented in a maximum of 30 slides**

**The following slides should be available at the time of presentation so include them in the end.**

1. References – all references in the synopsis should be included in the list.
2. Introduction and background (Minimum)
3. Literature survey (minimum)
4. Present status -International, national and local scenarios (minimum)
5. Social relevance and uniqueness of the work should be highlighted (minimum)

**NOTE:** Kindly save your presentations on the CD as follows: Your name, Register No. & Batch No. For example: Vinitha Pai/001Jan 2009 Batch  
Slides will be uploaded at [ddphd@yencpoya.edu.in](mailto:ddphd@yencpoya.edu.in) by 12.00 noon on the previous day of presentation. No correction are allowed on the day of the presentation.

**Duration of the Progress review presentation: 15 min (Kindly maintain time).**

## ANNEXURE 8:

### FORMAT OF THE FINAL SYNOPSIS

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Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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## I. COVERING PAGE

## II. INDEX WITH PAGE NUMBERS

1. AIM & OBJECTIVES
  2. SOCIAL RELEVANCE
- } maximum 2 pages

## 3. CONTENTS OF THE THESIS CHAPTER WISE – (maximum 10 pages).

Contents of each chapter should be one paragraph. It should include the experiments, results in brief and the conclusion of the experiments.

- CONCLUSION – The overall conclusion of the thesis in maximum 2 pages.
- REFERENCES – List of References Vancouver style (maximum 3 pages).

## FORMAT OF THE FINAL SUMMARY (SYNOPSIS)

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**Dr. Mangadhara Somayaji KS**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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(Covering Page format)

TITLE OF THE RESEARCH THESIS

*A Final synopsis of the thesis to be*

*submitted to the*

**Yenepoya (Deemed to be University)**

*for the degree of*

**Doctor of Philosophy**

Name of the candidate

DEPARTMENTAL ADDRESS

MONTH & YEAR OF SUBMISSION

ATTESTED

  
Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Derlakatte  
Mangalore 575 018, Karnataka.

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# Yenepoya (deemed to be University) – PhD Program --PhD Regulations - 2020

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## General Instructions for the final synopsis

- Format of the final synopsis : In the prescribed format
- Paper : A4 size
- Style : Portrait style
- Font : Style : Times New Roman; Size : 12
- Subheading : Style : Times New Roman; Size : 12, Bold
- Headings : Style : Times New Roman; Size : 14
- Line spacing : 1.5
- Printed on : Single side
- Page no. : At the bottom right corner
- No. of copies to be submitted
- Hard copies : 7
- Soft copy : 1 in PDF format on CD labeled with name of the candidate, Title of synopsis, Name of the Supervisor, Co-supervisor, Ph. D programme and duration of the work that is time of registration till the time of the submission project.
- Binding : To be stapled (and not spiral bound) with four staples on the left side into a booklet.

## **Items to be submitted with the final synopsis -**

1. Covering letter written by the Ph.D scholar
2. An attested xerox copy of the Pre-Ph.D examination completion certificate.
3. An attested xerox copy of the ethical clearance certificate.
  - Reprints of the publications (already published)
  - Acceptance letters of papers accepted but not yet published

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Dr. Mangadhara Somayaji KS  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

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- A covering letter from the research supervisor that presentation in the department has been conducted.
- Research Supervisor has to submit Names & contact details (addresses, telephone numbers and email Ids) of five foreign and five Indian experts from the field of the research work done by the candidate for the thesis. This list should be in sealed envelope labeled "STRICTLY CONFIDENTIAL" and addressed to the Controller of the Examination Yenepoya (Deemed to be University).

**NOTE: THE SYNOPSIS SHOULD BE ROUTED THROUGH PROPER CHANNELS i.e., SUPERVISOR, CO-SUPERVISOR, HEAD OF DEPARTMENT & HEAD OF INSTITUTION, DEPUTY DIRECTOR (MPhil & Ph.D) PROGRAMS, REGISTRAR TO CONTROLLER OF EXAMINATIONS.**

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Derlakatte  
Mangalore 575 018, Karnataka.

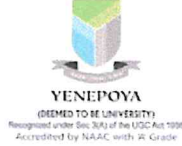


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## ANNEXURE 9 :

### FORMAT OF THE APPLICATION FOR THESIS SUBMISSION



University Road, Deralakatte, Mangalore, 575018, India  
Phone & Fax: +91 824 2203943, +91 824 2204668 Extn: 503  
Email: [registrar@yenepoya.org](mailto:registrar@yenepoya.org), [reachus@yenepoya.org](mailto:reachus@yenepoya.org)  
Website : [www.yenepoya.edu.in](http://www.yenepoya.edu.in)

### APPLICATION FOR SUBMISSION OF THESIS TO PhD PROGRAM

1. Name :

2. Workplace Address :

3. Permanent Address :

Contact numbers

Email Id

4. Name of Research Supervisor :

5. Address of the Research Supervisor :

Contact numbers

Email Id

6. Name of Research Co-supervisor (if any) :

7. Address of the research co-supervisor :

Contact numbers

Email Id

ATTESTED  
*ke*

Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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8. Title of the Research Topic :
9. Recommendations and signature :  
Research Supervisor
10. Recommendations and signature :  
Research co-supervisor
11. Date of submission of final synopsis :
12. Receipt No. :
13. No Dues Certificates from enclosed : Department : Yes / No  
Laboratories : Yes / No  
Library : Yes / No  
Hostel : Yes / No  
Finance Officer: Yes / No  
Campus Officer: Yes / No

Date:

Signature of the Ph.D Scholar

**NOTE :** 1. The application should be routed through the proper channel. The part time external students should route it through the Head of department, Principal / Dean of Institute/ workplace.

2. The application should be submitted along with 7 copies of the thesis and a labeled soft copy of the thesis

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Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mysore - 575 019, Karnataka.

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**ANNEXURE 10 :**

**CERTIFICATE OF PLAGIARISM CHECK – Check for Plagiarism**

1.	Name of the research scholar			
2.	Title of thesis / dissertation			
3.	Name of the supervisor			
4.	Department / Institution			
5.		<b>Introduction / Review of literature</b>	<b>Materials and Methods</b>	<b>Result / Discussion/ Summary/ Conclusion</b>
	Acceptable maximum limit (%) of similarity	10%		
6.	Software used / manual			
7.	Date of verification			

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Dr. Mangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte

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## ANNEXURE 11 :

### **FORMAT OF THE THESIS**

#### **The arrangement of parts of Ph.D. Thesis**

The sequence in which the thesis material should be arranged and bound should be as follows:

1. Cover page
2. Inside cover page
3. Dedication page (Optional)
4. Certificates from Research Supervisor and co-supervisor on letter head
5. Declaration by the candidate
6. Acknowledgements
7. Table of Contents
8. Abstract
9. List of Tables
10. List of Figures
11. Annexures
12. List of Symbols, Abbreviations or Nomenclature (Optional)
13. Chapters – (1) Introduction, (2) Literature review, (3) Methodology, (4) Results, (5) Discussion, (6) Summary and Conclusion
14. References
15. Ethical clearance, permission obtained to conduct study, etc., and other relevant documents

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16. List of papers based on Thesis (Published /acceptance letter for publication) hard copies to be Submitted/ Conferences attended based on thesis

17. Doctoral Committee

**The formats in various headings are given below**

**Cover page See Annexure 1**

Inside cover page	Same as Cover page
Dedication page (if Any)	Should not exceed one page
Bonafide Certificate	<b>See Annexure 2</b>
Thesis Certificate	<b>See Annexure 3</b>
Abstract	Should not exceed two pages (about 600 words and should contain a maximum of 6 key words) See Annexure 4
Acknowledgements	Should not exceed two pages
Table of Contents	<b>See Annexure 5</b>
List of Tables	<b>See Annexure 6</b>
List of Figures	<b>See Annexure 7</b>
List of Symbols, Abbreviations or Nomenclature (Optional)	<b>See Annexure 8,9</b>
References	<b>See Annexure 10</b>

### **GUIDELINES FOR PREPARATION OF THESIS**

**RECOMMENDATION : TOTAL NUMBER OF PAGES IN THE THESIS NOT TO EXCEED 200- 250**

**ATTESTED**

**Dr. Langadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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## THESIS FORMAT:

The thesis manuscript has three sections basically :

- I. the preliminary pages
- II. the Chapters
- III. the reference list

## PRELIMINARY PAGES :

The preliminary pages consist of the :

1. Title Page
2. Certificate from Research Supervisor
3. Certificate from Research Cosupervisor
4. Declaration Certificate
5. Abstract
6. Acknowledgements
7. Dedication (optional)
8. Table of contents
  - i. Abstract ( start numbering pages in small roman numerals)
  - ii. List of tables
  - iii. List of figures
  - iv. Other lists if any.
  - v. List of Appendices
  - vi. List of Abbreviations
  - vii. Definitions of terms

Preliminary pages are numbered separately from the rest of the text.

## Numbering of Pages :

- The title page has no number but is counted for the total number of pages.
- Page numbers shall be placed in lowercase, Roman numerals centered at the bottom of the preliminary pages. This numbering is continued in all the preliminary pages (up to the first page of the text).

## ORDER OF PRELIMINARY PAGES:

### 1. Title Page

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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- The title of the thesis should be as concise and congruent in every respect including - punctuation, capitalization, hyphenation, on the abstract, approval forms and other documents submitted along with the thesis.
- On the title page, the identical title must appear in all capital letters with every line centered on the page.
- The month in which the thesis is submitted, e.g., May / August / January with the year of submission is to be printed at the bottom of the page (as shown in the annexure).

## 2. Abstract

- The abstract should provide a brief, descriptive account of the thesis not exceeding 600 words, 1.5 spaced lines and should adhere to the same style as the thesis manuscript. The abstract may include specific names of places and other proper nouns.

## 3. Dedication (optional)

- The dedication is brief, single-spaced, and centered on the page (horizontally and vertically). Dedication customarily begins with the word "To".

## 4. Acknowledgement


- Title of this page ACKNOWLEDGEMENTS is centered in all capital letters. The following maybe thanked in this section :
- Persons who have been rendered help to the student in completing the degree requirements.
- Acknowledgement of grants and special funding from funding agencies, received in support of the research.

## 5. Table of Contents

- The words TABLE OF CONTENTS must be centered, page two inches from the top of the first page only.
- The Table of Contents must include all chapter headings, the bibliography and appendices.
- Line spacing : in an entry 1.15; between two different Entries - 1.5.
- The headings of major sections (i.e., chapters, bibliography, references, appendices) are written in all capital letters.
- Headings must be identical to both in the Table of Contents and in the text.

## 6. List of Tables (if tables appear in the thesis)

- The heading, LIST OF TABLES, appears centered on the page two inches from the top

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Dr. Mangadhara Somayaji KS  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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of the first page only.

- All table numbers and captions to be in the order/ listed exactly as they appear in the text.

## 7. List of Figures (if figures appear in the thesis)

- The heading, LIST OF FIGURES, appears centered on the page two inches from the top of the first page only.
- All figure numbers and captions to be in the order/ listed exactly as they appear in the text.

## 8. List of Abbreviations (nomenclature) used:

- The heading, ABBREVIATIONS, appears centered on the page two inches from the top of the first page only.
- Symbols used, their meaning, and units are given in this section
- The expansions of all the abbreviations, symbols used should be listed in alphabetical order.

## 9. Other Lists (Definitions, Glossary of terms, etc.)

- The appropriate title in all capital letters is centered two inches from the top of the first page only for each of these sections.

## 10. References:

- The references should be in VANCOUVER style
- For eg: Miller DJ, Shugars DA. The Health of the Dental Professional: American Dental Association Councils. J Am Dent Assoc. 1987; 114(4):515-8.
- line spacing in the references should be 1.15 and the spacing between the references 1.5

## PAGE DIMENSIONS AND MARGIN

**QUALITY OF THE PAPER** : Good quality white paper preferably not lower than 80 gsm.

**SIZE OF THE PAPER** : **Standard A4 size** (210 mm × 297 mm) paper should be used

  
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for preparing the copies.

## **DIMENSIONS OF THE PAGE MARGINS:**

- Top edge : 1 inch (25 mm)  
Left side : 1 ½ inch (38 mm) [For binding]  
Bottom edge : 1 inch (25 mm)  
Right side : 1 inch (25 mm)

## **TYPE-SETTING, TEXT PROCESSING AND PRINTING**

- PRINTING : Laserjet /Inkjet printer, the text having been processed using a standard text processor.
- STANDARD FONT TYPE : Times New Roman
- FONT SIZE : 12 pts
- LINE SPACING : 1.5

**The text must be 1.5 lines spaced and printed on only one side of each page.**

## **TEXT**

1. The text must be divided on a style that is followed consistently throughout the document.
2. Chapter organization as practiced by the discipline should be followed.
3. The larger divisions and more important minor divisions are indicated by suitable, consistent headings / sub-headings.
4. The student, the supervisor, the co-supervisor and the academic department are responsible for the quality and content of the text.

**Some specific requirements for text presentation :**

### **1. Headings and Subheadings**

- Headings (Font Size 14, bold, Times New Roman) and sub-headings ( Font Size 12, bold, Times New Roman) maybe used to subdivide chapters or sections, but a consistent sequence of headings as identified in the style selected by the Research Supervisor must

  
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University Road, Deralakatte  
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be followed.

- The student shall not change the sequence and style of headings from chapter to chapter.
- Once the sequence is chosen, it must be followed consistently throughout the thesis.

## 2. Pagination

- No number appears on that title page.
- In the subsequent pages, lower-case, Roman numerals are used sequentially to number all the preliminary pages preceding the text.
- Beginning with the first page of the text, all pages are to be numbered with Arabic numerals, positioned at the bottom of the page, centered between the margins, consecutively, throughout the thesis document, including the appendix, the bibliography, list of references.
- Page headers or running heads may not be used in the thesis.

## 3. Tables and Figures (Floaters):

- "Table" refers to a columnar arrangement of information, often data sets, organized to save space and convey relationships and comparisons at a glance.
- The tables should be numbered in Arabic numerals in sequential order as they appear in the text as shown in example cited below.
- Each table should have a title (header) comprising of a brief description, highlighting the relationships of the data contents in the table.
- For eg : **Table 1.3 A comparison of the enzyme activity at 30° C and 37° C** (table number 1.3, 1 stands for chapter number and .3 for the table number in the chapter). Bold, font size 10, No full-stop at the end of the title.
- The footnote of the table will be below the table, Times new roman, font size 10, italics, line spacing 1.15
- The numbering of the tables will be continuous, i.e., tables in chapter 4 will be Table 4.1..... Table 4.25. Avoid using sub-levels for table numbers, eg, Table 4.1.1, unless it is justifiable.
- Tables should appear as close to the text which describes the contents and be appropriately cited in the text in parenthesis.
- The term "figure" refers to graphs, drawings, diagrams, charts, maps, illustrations or photographs. Figure can be abbreviated as 'Fig.'
- The figures should be numbered in Arabic numerals in sequential order as they appear in the text.
- Each figure should have a legend below the figure / picture / graph, comprising of a brief description, of the figure / picture / Illustrations / photographs / graph with experiment.
- For eg : **Fig. 1.6 Effect of temperature on enzyme activity at 30° C and 37° C** ( table number 1.6, 1 stands for chapter number and .6 for the figure in the chapter). Bold, font size 10,

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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No full-stop at the end of the title.

- The legends of the figure will be below the table, Times new roman, font size 10, italics, line spacing 1.15
- The numbering of the Figures will be continuous, i.e., Figures in chapter 4 will be Figure 4.1..... Figure 4.25. Avoid using sub-levels for table numbers, eg, Figure 4.1.1, unless it is justifiable.
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## 4. Illustrations

- Every illustration material
  - must be referred to in the text
  - must be placed after and as near as possible to the first reference to it in the text.
  - must be prepared on paper that is the same weight (or stronger).
  - use the same font type as elsewhere in the manuscript.
  - If illustrations are mounted
    - dry mounting must be used.
    - may not be mounted with rubber cement, staples, mucilage, or photomounting corners.
- Illustrations must be
  - drawn or computer-generated in black ink.
  - may be laser-printed or drawn in waterproof, permanent ink.
  - Color should be used only if it is essential to the thesis.

## 5. Photographs

- High quality, high contrast copying machine should be used to reproduce photographic material for submission in lieu of photographs.
- Original photographs should be printed on single-weight, fiber-based paper with a matte finish.
- Photographic prints must be processed for established standards for chemical permanence.
- Black-and-white prints are preferable.
- Photograph page number placement follows the standard pagination style.

## 6. Appendix / Appendices

- The appendix or a series of appendices maybe included immediately following the main text.
- The appendix includes material that is helpful to the reader of the thesis but is too lengthy for inclusion in the text or footnotes.

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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- The title, APPENDIX, appears only on the first page of the section, in capital letters centered two inches from the top.
- Examples of such material include questionnaires, letters, original data, sample forms and vitae.
- Appendix is numbered with roman numerals, uppercase, as follows Appendix I.
- Each appendix is a separate subdivision of the text and must begin on a separate page
- The materials in the Appendix should be referred to in appropriate places in the text as follows (Appendix I) .
- Each appendix must be listed in the List of Appendices.

## ORGANISATION OF THE THESIS

- The thesis shall be presented in a number of *chapters*, starting with **Introduction** and ending with **Summary and Conclusions**.
- Each of the chapters shall have an accurate title indicating the contents of the chapter.
- A chapter may be subdivided into *sections, sub- sections and subsub-section* so as to present the content systematically and with due emphasis.
- **Each chapter shall begin on a fresh page**
- However the sections / subsections in the chapter will be numbered as follows :

### 1. Chapter and Section format: Introduction


- The title of **CHAPTER 1** shall be **Introduction**. Introduction justifies and highlights the problem poser and defines the research problem / topic, the aim, objectives and scope of the work presented in the thesis. It may also highlight the significant contributions from the investigation.
- Chapter numbering should be centered on the top of the page using large bold print using only Arabic numerals.

### Constitution of a chapter:

- A chapter can be divided into **Sections, Sub-sections and Sub-sub-sections** so as to present different concepts separately and in a sequential manner.
- Sections and sub-sections can be numbered using decimal points, e.g., 3.2 for the second Section in Chapter 3 and 3.2.4 for the fourth Subsection in second Section of Chapter 3.
- Only Arabic Numerals with decimals may be used.
- Section numbering should be left justified using large bold print.

### 2. Review of Literature

- This is normally the **CHAPTER 2** and presents an critical overview of the previous

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University Road, Deralakatte  
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work published in the literature pertaining to the topic of the investigation. The extent and emphasis of the chapter shall depend on the nature of the investigation to be done in the project.

- Each literature discussed shall have a backup with the appropriate reference inserted in Vancouver style.
- **For Example,**  
Several researchers attempted to develop mathematical models to simulate the activated sludge process. Some of these models simulate the organic removal mechanisms in wastewater treatment field (4 -7).  
[the appropriate references in the reference list will be numbered from 4 to 7].

or

The oxygen transfer mechanism has an important place in the activated sludge process.

An estimation technique for the oxygen transfer capacity has already been established.<sup>4-7</sup>

### 3. Methodology:

- The chemicals, reagents used in the study shall be listed in alphabetical order with the names of the manufacturing company
- The source from which the data was collected for the study with names of Institutions involved. For example, in clinical settings, it may be patients in hospitals, or in community settings, or it may be households or it may be laboratory based study.
- The method of collection of data. - interview / study of records/ by animal experiments / by performing tests or laboratory Investigations / even through some intervention.
- In case of human / animal study, mention the inclusion and exclusion criteria. If there were any issues involved, mention them and state how you overcame.
- The sampling procedure and sample size.
- The parameters studied and the procedures used with appropriate references. The procedures shall be in a format such that the experiment could be repeated preferably with similar outcome with the given protocol.
- Give the operational definitions.

### 4. Results:

- This chapter shall comprise of results of the investigations carried out in the form of figures ( either graphs, tables, histograms, piecharts, etc) in sequential order of the experiments outlined in the materials and methods section.
- Every figure will have a number followed by a legend (printed in the specification already mentioned) below it.

  
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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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- Figure should be in the vicinity of the referral text.
- The Figure number shall be quoted in the appropriate text.
- The inference of every figure has to be mentioned in the referred text of the figure

### Table / Figure Format

- As far as possible tables and figures should be presented in portrait style. Small size table and figures (less than half of writing area of a page) should be incorporated within the text. However, larger figures / tables may be presented on separate pages.
- Table and figures shall be numbered chapter –wise.
- For example, the fifth figure in Chapter 4 will bear the number - Fig. 4.5
- Table number and title will be placed above the table while the figure number and caption will be located below the figure.
- Reference for Table and Figures reproduced from elsewhere shall be cited in the end of the title of the footnote/legend of the table/figure, for e.g. [12].

### Equations

- All the equations should be typed in equation editor and should be properly numbered  
For Example,

$$\Delta X \propto X \Delta t \quad (2.1)$$

### 5. Discussion :

- This shall form the penultimate chapter of the thesis and shall include a thorough evaluation of the results of the investigation carried out and highlight the contributions from the study.
- The discussion should logically lead to inferences of the results of the study leading to the conclusions.
- The conclusions should also lead way to the scope for possible further future work.

### 6. Summary and Conclusions

- This is the final chapter of the thesis.
- 6.1 - A concise report of the work done.
- 6.2 - Findings of the study from results.

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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- 6.3 - Logical analysis presented in the discussion
- 6.4 – Conclusions & limitations of the study.
- 6.5 – Scope of the future work should be clearly stated.

### Appendices:

Should include scanned copies of the original ethical clearances obtained, permission letters to collect data from all the centers (if data has been collected from one or more centers), Request letter for validation of the tools, Copy of the tools used, Request letter for conducting the pre-testing, reliability and pilot study, copy of the informed consent, letter requesting the conducting of the study proper.

### Binding

The thesis shall have a black laminated cover with golden letters.

### Front Covers

The front cover shall contain the following details:

- Full title of thesis – Font size :20; Style : Times New Roman; Position : center justified and at the top, one and a half inches from the top edge.
- Full name of the candidate in 14 point's size font properly centered at the middle of the page. 1" below the title.
- A 1.25 " × 1.25 " size of the University emblem.
  - Name of the Department
  - Name of the Institute
  - The year of submission

each in a separate line, Times, New Roman, Bold, Capital, Font size 14 and properly centered and located at the bottom of the page.

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**Appendix I**

**TITLE OF THE THESIS**

A thesis submitted for the award of the degree

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**(Ph.D)**

**in**

**Name of the Department**

**by**

**Name of the Ph.D Scholar**

**workplace address of the Ph.D Scholar**

**UNIVERSITY EMBLEM**

**NAME OF THE DEPARTMENT**

**YENEPOYA MEDICAL COLLEGE**

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**MANGALORE 575018**

**KARANTAKA, INDIA.**

**MONTH YEAR (OF SUBMISSION)**

**Appendix II**

**Certificate should be in letter-head format**

**CERTIFICATE**

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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Place: Mangalore

Date:

**(Name of the Supervisor)**

Research Supervisor

Department

Name of Institute,

Yenepoya (Deemed to be University)

Mangalore 575 018.

**Appendix III**

**CERTIFICATE**

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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Place: Mangalore

(Name of the Cosupervisor)

Date:

Research Co- Supervisor

Department of

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Mangalore 575 018.

**Appendix IV**

**DECLARATION**

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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I hereby declare that the thesis titled -----  
submitted to the Yenepoya (Deemed to be University), Mangalore 575018, for the award of the  
degree of **Doctor of Philosophy (PhD)** in the faculty of  
\_\_\_\_\_ is the result of the study carried out by me  
under the guidance of **Name & address of the Research Supervisor and co-supervisor** during  
the period 20     to 20     . I further declare that I have not submitted any of the results of the  
study for the award of any other degree or diploma.

Place: Mangalore

Name & Signature of the Ph.D Scholar

Date:

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Registrar  
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Registrar  
Yenepoya (Deemed to be University)  
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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.


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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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**Dr. Langadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 007, Karnataka.




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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

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Dr. Jangadhara Somayaji K S  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka

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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
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Registrar  
Yenepoya (Deemed to be University)  
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Yenepoya (Deemed to be University)  
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**Appendices**

**ANNEXURE 12 :**

**FORMAT OF THE APPLICATION FOR RECOGNITION AS RESEARCH  
SUPERVISOR / CO-SUPERVISOR FOR THE Ph.D. PROGRAM**

1. Name :
2. Date of Birth & Age :
3. Designation, Department & Address  
of workplace :
4. Permanent Postal address :  
email Id :  
Tel Ph. No.(s) :  
Mobile No. :
5. Educational Qualification(s)  
with Relevant details :
6. Field (s) of Expertise in the order  
of priority  
The University reserves the right  
recognize all or only few of fields) :
7. (a) Whether recognized Supervisor of  
other Universities : Yes / No  
(b) If Yes names of the Universities :
8. (a) Total number of students presently under :

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.



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- the guidance of the applicant for Ph.D  
students in all universities where the  
applicant is recognised
- (b) Total number of students presently for whom the applicant is co-supervisor :
9. (a) Total years of Teaching Experience :  
Before getting PG degree  
Years of UG Teaching :  
Years of PG Teaching :  
Experience After getting PG degree  
Years of UG Teaching :  
Years of PG Teaching :
- (b) Details in Chronological order :  
(enclose list)
10. (a) Total years of Research Experience :  
(b) Details in Chronological order :  
(enclose list)
11. 11. List of Publications in National/  
International Journals in  
Chronological order :  
(enclose list & reprints, Indicate first author publications)
12. List of Publications in Proceedings of :  
National/ International Conferences  
in Chronological order  
(enclose list)
13. List of case reports published :  
(enclose list)
14. Other Publications chapters in Books  
Articles in News Paper, Magazines :  
in Chronological order (enclose list)
15. Names of Projects received with :  
Funding Agency, for which the  
applicant is a principal investigator  
(enclose list)
16. Name of Projects received and :  
Funding Agency for which the  
applicant is a co-investigator  
(enclose list)
17. Any other information :

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.

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**Signature of the Applicant**

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**Dr. Mangadhara Somayaji K S**  
Registrar  
Yenepoya (Deemed to be University)  
University Road, Deralakatte  
Mangalore 575 018, Karnataka.