

**DR. RAM MANOHAR LOHIA INSTITUTE OF MEDICAL SCIENCES,
LUCKNOW**



**Ph.D. Programme
Rules & Regulations**

(Sept.2021)

**Administrative Office
Research Cell, Administrative Block,
Dr. Ram Manohar Lohia Institute of Medical Sciences, Lucknow
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Preamble

Ph.D. programme was started at Dr. Ram Manohar Lohia Institute of Medical Science (RMLIMS) in the year 2013 in affiliation with King George's Medical University Lucknow. With the promulgation of Act in September 2018, RMLIMS has been accorded the status of an institute with a degree giving capacity/university; hence Ph.D. program will now be initiated with affiliation to RMLIMS.

Successful candidates will be awarded **“DOCTOR OF PHILOSOPHY”** from **DR. RAM MANOHAR LOHIA INSTITUTE OF MEDICAL SCIENCES, LUCKNOW (U.P.)**. This degree will not be awarded in any specific subject, the award certificate will mention the title of the thesis along with the month and year of the award of degree.

This document lists the rules and regulations for the degree of Ph.D. to be followed at RMLIMS, Lucknow. These can be reviewed and modified from time to time in the interest of the program.

Infrastructure

Ph.D. students can be registered in RMLIMS since infrastructure along with conducive academic environment exists. The Institute has facilities for biomedical research and central research lab and various departmental functional research laboratories. A central library, and computer lab is also available. Animal house facility exists in Pharmacology department, Proprietary software crucial for the students and scholars are procured. Institutional research committee, Institutional ethics committee and a Research cell are also in place.

Academic, administrative and infrastructure requirement to be fulfilled by departments of RMLIMS for getting recognition for offering Ph.D. programmes: Ph.D. Degree may be instituted in all subjects wherever recognized postgraduate qualification in medical/allied subjects are awarded and they have qualified teachers/scientists/other academic staff in the Academic Post Graduate Department concerned along with required infrastructure, supporting administrative and research promotion facilities.

Section A:

1. Eligibility Criteria for a Candidate:

1.1. Educational Qualification

- 1.1.1. **Non-Medical Candidates** must have Master's degree in Science /M.Tech (Biotechnology) from a recognized University/Institution in Science Subject/ Health Sciences.
- 1.1.2. **Medical/Dental Candidates** preferably should have MD/MS/MDS/DM/M.Ch in the subject concerned or Diplomat of National Board of Examination (DNB) or recognized by the National Medical Commission Erstwhile Medical Council of India. The candidates with MBBS degree recognized by the National Medical Commission may also apply.
- 1.1.3. **Nursing Candidates** should have M.Phil (Nursing) or M.Sc (Nursing) or a Post Graduate degree in nursing recognized by Indian Nursing Council (INC) with 02 years Teaching or Clinical Experience after M.Sc. (N), for enrolment for Ph.D. in Nursing (part-time) under College of Nursing at RMLIMS whenever it comes in to existence.
- 1.1.4. **Foreign Nationals Candidates** having degree from a University outside India will be eligible subject to the condition that the equivalence of the degree is recognized by Medical Council of India / University Grants Commission for Medical/Non-Medical candidates respectively. The qualifying marks shall be same as Indian Nationals. In addition the candidate should have an overall IELTS band score of at-least 7 with not less than 6.5 in any of the 4 subtests or an equivalent score in TOEFL for proficiency in the English language. Foreign nationals should send their applications through Diplomatic channels (Ministry of External affairs, Govt. of India). They will not be eligible for fellowship, contingency or free medical facility at this Institute.
- 1.1.5 **Registration to the Ph.D. programme at this institute for defence medical officers / teachers / scientists from national institutions / government organizations / universities recognized by the UGC** Defence officers / teachers / scientists from national institutions / government organizations / universities recognized by UGC, may be allowed to enrol for the Ph.D. Program if they are found suitable by the Dean's Committee / interview board. (a) They will not be paid fellowship, contingency and shall not be entitlement for free medical care or accommodation at the institute campus. (b).They will have to provide a no-objection-certificate from the competent authority of their organization. (c) They will have to provide evidence for sanction of leave for a minimum period of three years from their parent organization. If a candidate is not able to complete his Ph.D. in 3 years, the candidate may need to take additional leave from his/her Institution (of the kind due) to complete the work. The responsibility of this lies with the candidate. (d) The individual should have a minimum 10 years of active service left in their parent organization at the time of submission of application. (e) The individual should be a regular employee of their parent organization and should have rendered a minimum of 5 years of continuous service. (f) The guide should provide proof/give undertaking that he/she has sufficient funds for completing the Ph.D. work of the enrolled candidate.

1.2. Qualifying Marks: The candidates should have minimum 55% aggregate marks or its equivalent overall Grade Point Average / Cumulative Grade Point Average in M.B.B.S. (for medical graduates) OR M.Sc. / M. Tech/ as applicable or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees Regulations, 2016). A relaxation of 5% 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 Commission from time to time, or for those who had obtained their Master's degree prior to 19th Sept., 1991.

1.3. Category of enrolment

- 1.3.1. **Category 1:** Candidates who fulfil essential qualifications and have a letter of award for fellowship and contingency by any Government funding agency for a minimum period of three years.
- 1.3.2. **Category 2:** Candidates who fulfil essential qualifications as stated above AND if they are working in an extramural project funded by Government / UN agencies as JRF/SRF Research Assistant at RMLIMS. The enrolment should be done within one year of start of the project and the total project duration should be of at least 3 years, but will not be eligible for any fellowship or contingency from the Institute at any time.
- 1.3.3. **Category 3:** Candidates having Senior Research Fellowship (SRF) directly from Government funding agencies and have applied through RMLIMS for work to be done at RMLIMS. The admission will be considered within one year of the sanction of the SRF ship by the funding agency.

2. For the Registration of Guides/Research Supervisor

- 2.1. Faculty members of RMLIMS who are full time regular teacher in this Institute and have teaching experience of at least 05 years as a faculty or working as Professor are eligible to register as a guide for Ph.D.
- 2.2. It is necessary that the guide be currently involved in active research preferentially with ongoing research project(s) through extramural funding.
- 2.3. There must be at least one co-guide from the institute (preferably from the department of guide).
- 2.4. For guiding Ph.D. in basic sciences, the guide must have proven experience of the techniques involved.
- 2.5. At any given point of time, A Professor as Research Supervisor can guide up to a maximum of Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. Scholars, and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. Scholars (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees Regulations, 2016). However, more than two Ph.D. Scholars may not be preferred in a year for any faculty.
- 2.6. In case the research guide/supervisor who superannuates / resigns or avails long leave, cannot take the responsibility of the ongoing candidate (s) then the RMLIMS shall make alternate arrangements (preferentially among co-guides) in the interest of the candidate(s) in consultation with Faculty In-charge, Research Cell, RMLIMS.
- 2.7. If a faculty member is a Co-guide for a candidate registered in another Institute, his/her candidate can conduct work within the Institute with the approval of the Director, RMLIMS.
- 2.8. Faculty members due for superannuation in next 3 years will not be eligible to guide from academic session three years prior to the determined date.
- 2.9. **Scientist as Guide for PhD students-** The Scientists employed in the institute shall be eligible to be a Guide for Ph.D. students subject to the condition that they fulfil the following requirements/guidelines; - a) They should hold a PhD degree. b) They should be the regular employee of RMLIMS. c) A faculty member (Medical or Non-Medical) of RMLIMS, who has expertise in the area of research, should be a Co-guide. e) Other terms & conditions will be as described for the faculty.
- 3.0. **Eligibility criteria for Co-guide (External organizations)-** The guide of the student may request the concerned faculty member of any institute/college/university for being a co-guide with full justification and the copy of synopsis duly recommended by a competent authority of that organization. For transfer of biological material if any, prior approval by RMLIMS for its use will need to be obtained. Ethical clearance will also be obtained at all sites of work.

3. Admission Procedure

3.1. Enumeration of Ph.D. Seats:

- 3.1.1. The Ph.D. Seats will be enumerated annually as per the vacancy/requirement in the various departments. However, at any given point of time total seats in any department cannot exceed as mentioned above under 2.5 (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees Regulations, 2016). Briefly a professor as Research Supervisor can guide up to a maximum of Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars, and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.
- 3.1.2. Reservation policy as per the Government rules.

3.2. Selection Procedure:

Advertisement: The admission to the Ph.D. courses will be done once in a year for which the advertisement shall be placed at the institutional website, local notice boards and national level newspaper (minimum 2, one each in Hindi and English daily) after the result of the CSIR/UGC/NET examination.

- 3.2.1. Candidates (fulfilling the eligibility criteria as per Section A-1) and have qualified for UGC/CSIR/ICMR/DST/DBT/CST JRF/SRF fellowships through national level examinations or any other government funding will be screened by Ph.D. Committee.
- 3.2.2. **Institute Interview:** All screened candidates will have to appear for interview, before committee, for the final selection-
- i). Dean, Faculty of Medicine (Chairperson)
 - ii). Director's nominee
 - iii). Sub Dean of Respective Faculty (if applicable)
 - iv). Guides /Co-guide
 - vi). Faculty In-charge Research Cell- **Convener**
 - vii). Minimum of 2 external experts (either from PhD committee member Or nominated by the Institute as deemed fit)

3.3. Registration Procedure:

- 3.3.1. The candidates who have been selected by Interview Committee shall be considered provisionally registered in the Ph.D. programme after verification of documents, approval of the medical board and payment of requisite fee.
- 3.3.2. Provisionally registered candidates will have to report to the concerned department and interact with eligible Ph.D. guides willing to take a Ph.D. candidate for the current year. The student will identify the broad area of Ph.D. work within one month and present before the Doctoral PhD Committee (chaired by Head of the concerned Department, with guide, co-guides and Internal and external expert (nominated by director from three recommendations from the guide), The finetuned proforma will be submitted to the research cell for ethical clearance within three months of the admission and prior to commencement of the work.

3.3.3. Doctoral Committee: The Guide will then submit the names of reputed experts in the field of the proposed work for the Doctoral Committee of candidates to the Research Cell. Doctoral Committee (DC) will be approved by the Director on the recommendation of the guide within nine months of admission of the candidate. The Doctoral Committee for each Ph.D. scholar will consist of:

- a) Guide, RMLIMS – Convener
- b) Co-Guides
- c) Head of the concerned Department
- d) Internal Expert/s (1)

To be selected by Director from a panel of 3 potential faculty members of Institute proposed by the Guide

- e) External Expert/s (1)

To be selected by Director from a panel of 3 potential experts from outside the Institute proposed by the Guide

The Doctoral Committee will be valid for entire duration of work of Ph.D. scholar. Any changes in the Doctoral Committee will need prior approval from the Director.

3.3.4. The Guide will arrange for Doctoral Committee Meeting for presentation of synopsis submitted by the Ph.D. candidate. The Guide will send the approved synopsis along with the recommendations of Doctoral Committee (in the prescribed format only) to the Research Cell for approval of the ethical committee followed by a final approval from the director.

3.3.5. After approval of the Director the student will be considered registered in the Ph.D. program of the Institute.

3.3.6. In case of any dispute in relation to the above process the decision of the Director shall be final.

4. Duration of the Ph.D. Programme

4.1. The Ph.D. programme will be for a minimum period of three years.

4.2. Candidates who do not submit their thesis within 5 years after registration will be removed from Ph.D. program of the RMLIMS, unless the Doctoral Committee recommends otherwise. The decision of Director will be final in this regard.

4.3. The period of a candidate's studentship shall be effective w.e.f. the date of deposition of the first instalment of the fees.

4.4. Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of the individual Institution concerned.

4.5. In exceptional circumstances if the student has completed his/her PhD work within 2.5 years and wants to submit thesis, then on the basis of recommendation of the Doctoral Committee with full justification of the thesis work, the student may submit the thesis to the Institute.

4.6. The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of one years for Ph.D. in the maximum duration. In addition, the

women candidates may be provided Maternity Leave as per Govt. of India norms in the entire duration of Ph.D. which will extend tenure of the course.

4.7. Course Requirements:

The credit assigned to Ph.D. course work shall be a minimum of 08 credits and a Maximum of 16 credits. A minimum of four credits shall be assigned to a course on Research Methodology (Research Methodology basic course from ICMR-NMC). Other courses will cover areas such as medical statistics, quantitative and qualitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc.

The student should do 16 credits in total which will include the following

I. Mandatory course (10 credits)

- a. Research Methodology Course - 2 credits
- b. Biostatistics - 2 credits
- c. Review Writing - 2 credits
(Will help develop skill in literature search and critical review of literature)
- d. Journal club article presentation 2 credits In department
- e. Synopsis presentation - 2 credits

II. Optional courses (6 credits) some of the courses are listed below:

- a. Laboratory medicine - 2 credits
- b. Lab Instrumentation - 2 credits
- c. Scientific communication - 1 credit
- d. Computer application - 1 credit

5. Place of Work

- 5.1.** Most of the Ph.D. work must be performed in the institution of registration. In case additional help is needed from other institution/s, then 1/3rd of work may be allowed to be done outside the parent institution.
- 5.2.** Ph.D. candidate registered in RMLIMS shall not be allowed to complete his/her work in a different institution without direct supervision of Guide of the RMLIMS.
- 5.3. Ethical Clearance**

After the first Doctoral Committee meeting, the approved synopsis should be submitted to the Institutional Ethics committee as per the requirement of the thesis work, the guide should obtain the approval from the IEC. In any case, the work should not be started by the candidate prior to the ethics committee approval. Any changes in the title of the synopsis or protocol, must be informed to the above committee for approval and its copy should be sent to Research Cell, for record. All national norms of Bio-medical research and research work on animals need to be followed.

6. Quality Assurance Procedures

- 6.1. The first DC must be held within three months of registration and should approve the synopsis and proposed plan of work of the candidate. The candidate has to submit the synopsis before the doctoral committee for doing the PhD work. After approval of the synopsis by the doctoral committee, the candidate should submit the signed copy of the synopsis to the Research Cell for its approval by the Dean along with the minutes of the first doctoral committee meeting.
- 6.2. If the first DC is not held within six months of enrolment, the matter will be referred to Dean's Committee for decision regarding cancellation of PhD registration.
- 6.3. The guide must ensure that the progress of the research work is regularly monitored. The DC must be convened at least once every 12 months and satisfactory progress must be endorsed by the DC. Please ensure that co-guides are available at the time of DC and participate in DC. Any changes in part or full (including title) of the proposed work of the candidate must be approved by the DC.
- 6.4. Doctoral Committee will review the patient Consent Forms as applicable and the original data of Ph.D. work for its quality.
- 6.5. Doctoral committee will make sure that the research paper from Ph.D. work is published in PubMed/Scopus indexed journals.
- 6.6. It will be the responsibility of Guide to convene the Doctoral Committee meeting and submit the signed report (in the prescribed format only) within 15 days to the Research Cell. The report signed by all members will include recommendations along with clear overall assessment of quality of work with other remarks if any, as following:
 - i. Excellent
 - ii. Good
 - iii. Satisfactory
 - iv. Needs improvement, with suggestions/modifications
 - v. Not satisfactory, with reasons
- 6.7. The final DC will also approve satisfactory completion of the work as proposed in the synopsis and give permission to the candidate to write the thesis. The final DC should be held at least 6 months before the end of the maximum registration period (of 5 years). The guide will give a minimum notice of 7 days to the candidate to make any presentation before the final DC.
- 6.8. The Doctoral Committee can make suggestions for modifications or extension of work if required. Detailed records of progress will be maintained simultaneously both with guide and at Research Cell. Completed Ph.D. work has to be presented before the Doctoral Committee. On approval of the Doctoral Committee, the scholar will be allowed to submit his/her thesis for evaluation.
- 6.9. The candidate will handover raw data to Guide and Guide must archive the raw data related to Ph.D. research work and patient consent forms for at least 5 years after its submission.

7. Ph.D. Evaluation Procedures

7.1. Before submission of the thesis it is essential for the candidate to have 2 papers either published or accepted for publication in PubMed/Scopus indexed journals with his/her name as the first author and/or corresponding author. He/she should have completed the mandatory and optional courses with required credit hours and the time of the submission for thesis.

7.2. Submission of thesis:

7.2.1. The candidate shall submit four printed copies (on both side of paper) and one soft copy (pdf file) of thesis in English, along with a summary in 500 words, to the Research Cell. Published matter should be incorporated along with thesis. Ph.D. guide and co-guides will give a written certificate stating that the thesis is the original work of candidate conducted under his/her supervision and they are in possession of original raw data and consent forms.

7.2.2. Soft Copy of the thesis and hard copy of the thesis will be dispatched to examiners only after the candidates submits “ No Dues Certificate” duly signed by all concerned departments to Research Cell.

7.2.3. While submitting for evaluation, research scholar shall submit an undertaking and a certificate from the Guide 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 in any Institution. Plagiarism Report generated by the Plagiarism Software should be attached. It is imperative on the part of the guide and doctoral committee to ensure that submitted thesis is plagiarism free, before submission. (As per the UGC-Promotion of academic integrity and prevention of plagiarism in higher educational institutions regulations, 2018)

7.3. Final Evaluation of the Thesis

7.3.1. Each thesis will have external and internal evaluation. In addition, the candidate will defend the work at oral presentation.

7.3.2. The Guide will submit the names of ten examiners (panel of examiners) for external evaluation of the thesis to the Research Cell, which will be forwarded to **Examination Cell, RMLIMS**. The thesis will be sent for evaluation to three external experts/examiners (selected by the Director) by the **Examination Cell, RMLIMS**. Thesis guide will be the internal examiner for the Ph.D. work.

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

7.3.4. The criteria for grading the report

Thesis accepted: viva-voce examination to be conducted. Minor changes/correction of typographical errors/correction of references/ reanalysis of data/clarifications/retyping/ correction in figures suggested by the examiners should be incorporated in the library copy and submitted to the Dean's Office before degree is notified.

Thesis rejected: If two of the three examiners recommend rejection, the thesis will be considered as rejected. If one examiner recommends rejection, the thesis will be sent to a fourth examiner from the list of approved examiners. If the fourth examiner recommends rejection, then thesis will be taken as rejected. If he/she accepts, then the viva-voce examination can be held. The reasons for rejection of the thesis should be clear and conveyed to the candidate and also brought to the notice of Academic Board.

7.4 . Thesis accepted with modification:

- 7.4.1. If additional experiments are required to be carried out, the student will be allowed to resubmit after completing the required extra work.
- 7.4.2. In case of major flaws in the presentation of data and interpretation of results, the thesis will need to be revised totally and re-submitted. The candidates will be allowed six months for re-submission of thesis. (But not more than 5 years from the date of enrolment).
- 7.4.3. If one or more than one examiners have recommended re-writing/re-submission/ revision, the revised thesis incorporating all the changes will be sent for re-evaluation only to the examiner who has asked for the revision. Appropriate facilities will be provided to the student during the time of re-submission viz: Lab facilities if required, hostel accommodation (if available on payment basis) and library facilities. However, no fellowship & contingency will be paid for this period.
- 7.4.4. Four copies of the revised Ph.D. thesis will be submitted and re-evaluated by three external examiners. The external examiners will ordinarily be the same who did the initial evaluation. However, if they are not available new external examiners will be selected from the panel of approved examiners.

7.5. Oral Defence

- 7.5.1. If two or more external examiners accept the thesis, the candidate shall be called upon to appear for a viva voce examination before the Thesis Oral Defence Committee.
- 7.5.2. Oral examination will be an open house event held within the Institute campus. It will be open to all faculty and students of RMLIMS. Other individuals interested in attending this can do so.
- 7.5.3. The following will be the examiners of Oral Defence.
 - i. One external examiner (preferably the one who evaluated the thesis; if not available, then any other member from the panel of approved examiners)
 - ii. Guide of concerned candidate will be the internal examiner.
 - iii. Co-guide(s) will be invited.

- 7.5.4. After the viva voce, the guide shall submit the result under a sealed cover to the Dean with clear recommendation to AWARD / NOT To AWARD PhD to the candidate. The report should be signed by all examiners on the prescribed format. No marks need to be allotted.
- 7.5.5. If a candidate fails to defend thesis on oral examination, he/she will be allowed one more attempt for defence.

8. Award of the Degree

A candidate will be eligible for the award of Ph.D. degree after the recommendation of the examiners of the Oral Defence is sent to the **Examination Cell, RMLIMS**. The recommendations will then be directly placed before the Director for approval and the result would be declared thereafter with a copy to the Dean all concerned. A provisional certificate can be given to the candidate after the declaration of the result. Date of award of degree will be the date when result will be notified.

9. Depository with UGC

- 9.1. Following the successful completion of the evaluation process and conferment of the award of Ph.D., the Institute shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions/ Universities.
- 9.2. The Institute shall host soft copy of the Ph.D. thesis on its website for general viewing.
- 9.3. Only after completion of above, subsequently, Institute shall issue additional certificate confirming that the Degree has been awarded in accordance with the provision of UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees Regulations, 2016.

10. RMLIMS Ph.D. Calendar

The tentative annual calendar of Ph.D. activities is as follows:

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|---|----------|
| i. Enumeration of Departmental Ph.D. Seats: | April |
| ii. Ph.D. Advertisement: | July |
| iii. Institute Interview: | August |
| iv. Allocation of Guide: | August |
| v. Synopsis Submission | November |

11. Fee Structure

S. No.	Particulars	1 st Year	2 nd Year	3 rd Year
1.	Admission Fees	5000.00	-	-
2.	Course Fees	9,000.00	9,000.00	9,000.00
3.	Examination Fees	-	-	2,500 .00
4.	Enrolment Fees	500.00	-	-
5.	Degree/Diploma Crepitate Fees	-	-	300.00

6.	Migration Certificate Fees	-	-	300.00
7..	Caution Money (refundable)	10,000.00	-	-
8.	Medical Subscription Fees	1,800.00	1,800.00	1,800.00
9.	Library Fees	500.00	500.00	00
	TOTAL	26,800.00	11,300.00	14,400.00

Application forms can be obtained from the RMLIMS/RMLIMS web-site (www.drrmlims.ac.in). All kinds of fee are non-refundable.

If a candidate does not submit the thesis by 31st July of the next calendar year in which Ph.D. Review Committee recommended submission then she/he will have to pay annual renewal of registration fees.

12. Leave to the PhD students

Minimum 33 months attendance is required to complete the tenure. Students are permitted to avail leave (inclusive of all types) with stipend not exceeding 30 days for each completed year of tenure. Leave can be carried over to the next year. However, not more than 90 days can be accumulated at any time during the tenure and not more than 30 days can be availed of at the end, prior to completion of the tenure of fellowship. Guide can grant leave to the student/fellow in his charge with the concurrence of the Head of the Department as per entitlement and all records must be maintained by the Guide. Sanction of leave without stipend beyond the above entitlement may be considered by the Institute under special circumstances. Such cases will be decided by the Dean on the recommendation of Guide and HOD.

13. Attendance Requirement

- 13.1. A candidate is required to sign on all working days of the in an attendance register to be kept in the concerned Department, except when he/she is on duty/sanctioned leave as per the leave rules.
- 13.2. A candidate, who is pursuing course work as a part of his/her PhD Programme, is expected to have full (100%) attendance in each course. However, a maximum of 30% attendance may be condoned by the Dean on the recommendation of Guide for cogent reasons as per institute's rules.

14. Other Rules

(e.g. disciplinary action, cancellation of registration etc.)

- 14.1. Students shall not seek admission to any other course during the course of study at RMLIMS. All students shall submit a surety bond, duly signed by the Notary at the time of Admission as per Annexure- 1, 2 (Proforma enclosed), failing which his/her registration/admission will not be accepted.
- 14.2. Other rules will be applicable to these students as are applicable to post-graduate students of the Institute.
- 14.3. The registration in Ph.D. programme is liable to be cancelled in case of non-deposition of fees, misconduct, unsatisfactory progress of research work, absence from work without information or if the candidate is found ineligible at a later date.

Section B: For RMLIMS Faculty (Teaching Staff)

1. The regulations governing Ph.D. program as mentioned in Section A shall apply to this category, in addition to the following:

2. Eligibility Criteria for a Candidate:

- 2.1. Faculty of RMLIMS who have completed at least five years of service at RMLIMS are eligible for enrolment in the PhD programme at RMLIMS. The application should be submitted through proper channel.
- 2.2. The candidate must have a research grant on the topic of research and at least five publications as first /second or corresponding author (not case reports).
- 2.3. The Guides of faculty candidate should be a Professor of RMLIMS and must have teaching/research experience of at least 10 years, and have a proven research track record, with at least 10 publications as first or corresponding author in PubMed/Scopus indexed, peer-reviewed journals.
- 2.4. Also such candidates have to provide a no objection certificate, at the time of interview, from the head of the institution through proper channel stating that in the event of selection to PhD program the candidate will be allowed to do PhD without compromising the assigned work.
- 2.5. Before submission of the thesis, it is essential for the candidate to have 2 papers either published or accepted for publication from the thesis work in PubMed/Scopus indexed journals (impact factor 1, one or more than one) with his/her name as the first author.
- 2.6. The individual should have minimum 10 years of active service left at the Institute at the time of application.

3. Admission Procedure

3.1. Selection Procedure:

- 3.1.1. The other regulations will be same as mentioned in Section A-1

4. Duration of the Ph.D. Programme

- 4.1. Regulations will be same as mentioned in Section A-4

5. Ph.D. Evaluation Procedures

- 5.1. Regulations will be same as mentioned in Section A-7

6. Fee Structure

- 6.1. Fee structure will be same as mentioned in Section A-11

Section C: For RMLIMS Non-Teaching Staff

1. The regulations governing Ph.D. program as mentioned in Section A shall apply to this category, in addition to the following:

2. Eligibility Criteria for a Candidate:

- 2.1. Non-teaching staff of RMLIMS who have completed at least five years of regular service at RMLIMS and possess post graduate degree in medical or science subjects, are eligible for enrolment in the Ph.D. programme at RMLIMS. The application should be submitted through proper channel.
- 2.2. The candidate must have a research grant on the topic of research and at least five publications as first /second or corresponding author (not case reports).
- 2.3. The Guides of Non-teaching staff candidate must have teaching/ research experience of at least 10 years as a Faculty or working as Professor and have a proven research track record, with at least 10 publications as first or corresponding author in PubMed/Scopus indexed, peer-reviewed journals.
- 2.4. Also such candidates have to provide a no objection certificate, at the time of interview, from the head of the institution, through proper channel (via concerned dean) stating that in the event of selection to Ph.D. program the candidate will be allowed to do Ph.D. without compromising the assigned work.

3. Admission Procedure

3.1. Selection Procedure:

- 3.1.1. Same as mentioned in Section A-1

4. Duration of the Ph.D. Programme

- 4.1. Regulations will be same as mentioned in Section A-4

5. Ph.D. Evaluation Procedures

- 5.1. Regulations will be same as mentioned in Section A-7

6. Fee Structure

- 6.1. Fee structure will be same as mentioned in Section A-11

Section D: Hon. PhD by Prior Published Work

1. The PhD by published work route is intended primarily for senior research-active academic faculty.
 - 1.1. Submissions for this award will consist of a coherent body of work which is of the same quality, rigour and volume as required of a standard PhD in that field and which constitutes an original contribution to the knowledge.
 - 1.2. The regulations governing Ph.D. program as mentioned in Section C (for Dr RMLIMS Teaching Faculty), shall apply to this category, in addition to the following:

2. Eligibility Criteria and Application Process:

- 2.1. Any Faculty, Additional Professor or above, with at least 10 publications (as first author and/or corresponding author) of which 5 publications in last ten years, in peer reviewed PubMed/Scopus indexed journals (out of which at least five publications of impact factor 2 or more) on a single topic, may be allowed to submit the work in form of a thesis for consideration for the award of PhD. Work collectively should point towards a significant new advancement in the field. Thesis, thus produced, should be an incremental advancement of existing knowledge in the field of research work.
- 2.2. Also such candidates have to provide a no objection certificate, at the time of application, from the head of the institution through proper channel stating that in the event of acceptance to PhD by published work program the candidate will be allowed to submit thesis for Ph.D. by published work without compromising the assigned work.
- 2.3. The work submitted must, in aggregate, be broadly comparable in quality and quantity to that expected to be embodied in a PhD thesis in the same discipline.
- 2.4. Any faculty who considers that his/her research work is suitable for the PhD degree, should submit the application to the concerned Dean, which includes a portfolio of publications (peer-reviewed PubMed/Scopus indexed journal papers), accompanied by a synopsis not exceeding 500 words in length, which contextualizes the selected publications, demonstrates their coherence and outlines the intended contribution to knowledge. The body of work shall include materials produced before the date of submission as mentioned above in 2.1.
- 2.5. The Dean, Faculty of Medicine will call the meeting of the Faculty Doctoral Committee (FDC) will evaluate the merit of the proposal. The constitution of FDC will be as follows:
 - i. Dean, Faculty of Medicine – Chairperson
 - ii. Dean of respective Faculty(s)
 - iii. Two external subject expert nominated by Director
 - iv. Faculty In-charge, Research Cell – Convener
- 2.6. FDC will send its proceedings for the formal approval of the Director.
- 2.7. If the application is successful, applicant will be notified for further admission formalities.

3.Registration Fee: Rs. 30,000.00 one time

4. The faculty shall submit within a period of one year.

5. How to write PhD by published work research proposal

5.1 What should be included in the research proposal/ research portfolio

1. Thesis should have a title.
2. Synopsis
3. Research portfolio should be around 50-100 pages describing
 - Introduction,
 - Coherent Materials and Methods (in relation to published work)
 - Review of literature
 - Discussion
 - Conclusions clearly stating how their work has advanced existing knowledge and perhaps lead to change in policy/practice.
 - Future perspectives
 - Bibliography etc.
 - Enclose a copy of relevant published papers as appendix

6. Ph.D. thesis Evaluation Procedures

If two or more external examiners accept the thesis, the candidate shall be called upon to appear before Committee consists of

- i. Dean of the concerned faculty: Convener
- ii. Director or Nominee
- iii. Two external examiner/subject experts, preferably the one who evaluated the thesis

[To be completed, signed and furnished to the academic section on stamp paper before release of 1st instalment of JRF/ research assistantship]

Before:- The Executive Registrar, Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow

1. I, deponent.....Age.....
S.o./D.o. Sri.....
R/o.....
.....
.....
have opted for Ph.D. program through RMLIMS Ph.D. Program Examination in year.....
in **Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow** in the Faculty
of..... and as deponent's own choice the deponent has taken
admission on in the
Department. At the time of admission the deponent has been specifically informed by the
competent authority of this Institute that the deponent who joins the department in due
course will not be allowed midsession resignation.
2. The deponent further submits that in case of midsession resignation the deponent shall have
to deposit Rs. 1,00,000/- (One lacs) only as penalty and the deponent will also have to
refund his/her all stipend money, which he/she will receive from this Institute (funded by
any source). Only then his original documents, deposited by the deponent at the time of
admission shall be returned to him/her by concerned officials.
3. That the deponent shall not leave the Ph.D. Research Programme from the Institute before
the assigned work is completed and the Ph.D. Thesis is submitted.
4. That the deponent hereby declares that I am not drawing any Salary/Research
Scholarship/Assistantship from any other Institution/source.
5. That the payment of allowances admissible under the said program shall be made subject to
the complete adherence to all rules and regulations governing the said program as well as
satisfactory performance in the authorized studies.
6. That the deponent shall not change the specified course of studies or supervisor nor register
himself/herself for any other course or program without prior approval of the supervisor.
7. That the deponent shall not avail or apply for immigration /citizenship or permanent residence
to any country during period of studies/service/employment under study/bond period.
8. That the deponent shall not take interruption or extend the specified period of studies without
prior approval of his/her Ph.D. supervisor.
9. That the deponent shall not undertake employment whether paid or otherwise during course
of studies.
10. That the deponent shall not visit outside the country of study for academic or other reasons
without prior approval of his/her Ph.D. supervisor.
11. That the deponent shall not discontinue/quit the course of studies at his/her own, for which
he/she was enrolled at RMLIMS.
12. That the deponent shall maintain the required standard or qualify the course/degree for which
he/she was enrolled at RMLIMS
13. That the deponent shall comply the instruction(s) given by his/her Ph.D. supervisor regarding
leave policy and the RMLIMS/supervisor reserves the right to deduct stipend, allowance(s)
etc. in case of non-compliance of leave policy/instruction(s).
14. That the deponent shall regularly submit the quarterly/biannually/annually progress reports
through the supervisor/Institute to the RMLIMS Research Cell and a final comprehensive
report immediately on completion of the study/training/research.
15. That the deponent shall fully obey the national and local laws of the country for which he/she
was enrolled at RMLIMS and shall strictly follow the rules & regulations of the Institute
under said Ph.D. program.
16. That the deponent authorizes and agrees to proceed for cancelation of his/her VISA by
RMLIMS, in case of any violation of this deed of undertaking.
17. That the deponent shall be liable to action under the law in force in Uttar Pradesh impounding
or confiscating passports in case of failure to obey or act according to instruction(s)/order(s)
of RMLIMS.

18. That the deponent shall be liable to cancelation/disqualification of scholarship or debarred from foreign study/training/research of any scholarship scheme of RMLIMS or refund of expenditure amount with/without penalty or any other disciplinary action as RMLIMS may consider appropriate if:
- a) Failed to comply with the instruction(s)/order(s) of his/her Ph.D. supervisor/RMLIMS.
 - b) Dual Scholarship.
 - c) Any financial loss occurred to his/her Ph.D. supervisor/RMLIMS due to deponent's act(s).
 - d) Misstatement or concealment of facts therein before by the deponent.
 - e) Engaged in any political, commercial or any other activity incompatible with program of studies.
 - f) Commit misbehaviour the Institute/ Supervisor.
19. That all the terms and conditions mentioned in this letter shall be deemed as part of this deed of undertaking.

Place:- Lucknow

Date:-

Deponent

Verification

I, the above named deponent do hereby verify that the contents of paragraphs 1-19 of this affidavit are true to my personal knowledge and belief and nothing material has been concealed. So help me God.

Place: - Lucknow

Date:

Deponent

Affidavit-2

[To be completed, signed and furnished to the academic section on stamp paper before release of 1st instalment of JRF/ research assistantship]

Before:-The Executive Registrar, Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow

I, deponent Aged.....
S/o, D/o Sri.....
R/o.....

.....
admitted in..... Course through RMLIMS Ph.D. Program-year.....
in the **Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow** on
state on Oath as under:-

1. That the deponent will not take part in any strike/ ragging/undesired activities. In case if I am found to have taken part in such activities, the Institute administration is liable to take suitable action against me including expulsion.
2. That the Deponent has studied all the Rules and Regulations of the Institute for the Ph.D. Syllabus and agreed with them.
3. That the deponent will accept the schedule of examination as decided by the Institute in accordance with the regulation and shall abide by the same.
4. That the deponent will wear the white apron bearing her/his name-plate as prescribed during Institute duty hours and will follow all the Rules and Regulations of the Institute.
5. That the deponent will not do anything which is unbecoming for a Ph.D. student which may lower the prestige of **Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow** or that of the ethics.
6. The decisions of the Director, **Dr Ram Manohar Lohia Institute of Medical Sciences, Lucknow** will be final in any matter and I will be bound to follow all the decisions.

Place:- Lucknow

Date:-

Deponent

Verification

I, the above named deponent do hereby verify that the Intents of Para 1 to 6 of this affidavit are true to the best of my personal knowledge.

Place: - Lucknow

Date:

Deponent