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GUIDELINES FOR THE IMPLEMENTATION OF THE PhD IN HEALTH SCIENCES BY RESEARCH

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GUIDELINES FOR THE IMPLEMENTATION OF THE PhD BY RESEARCH

1. GUIDELINES FOR STUDENTS

1.1. Application Procedure

- 1.1.1. All application documents should either be filed at the University of the Philippines Manila- National Graduate Office for the Health Sciences (NGOHS), 3rd Floor Joaquin Gonzales Bldg., Padre Faura corner Ma. Orosa Sts., Ermita Manila or submitted online thru the NGOHS email at ngohs@upm.edu.ph
- 1.1.2. All application documents must be with the NGOHS by the last working day of May of each year for First Semester and last working day of October for the Second Semester.
- 1.1.3. The NGOHS accepts applications all year round. However, applications received after the deadline will be considered for the next application period.
- 1.1.4. General NGOHS requirements for admission into the PhD in Health Sciences (By Research) program shall include:
 - 1.1.4.1. Aduly accomplished Application Form
 - 1.1.4.2. Certified true copy of Diplomas (Baccalaureate, Master's and/or MD with specialization) with the seal of the university and the signature of the Registrar in ink; (Note: only those with Master's and/or MD with specializations can be accepted to the programme).
 - 1.1.4.3. Photocopy of birth certificate (original to be presented for verification;
 - 1.1.4.4. Photocopy of marriage certificate for female married applicants (original to be presented for verification) especially when documents reflect names when still on single status;
 - 1.1.4.5. Four (4) passport size photos;
 - 1.1.4.6. Two (2) accomplished recommendation forms (UPM-NGOHS Form A3) from referees such as former professors, supervisors or colleagues filed directly to the NGOHS or through email by the referees.
 - 1.1.4.7. Official receipt of the application/processing fee paid at the UP Manila Cash Division;
 - 1.1.4.8. Additional requirements for foreign applicants:
 - 1.1.4.8.1. Certified true copy of the English translation of the diploma, with the seal of the university and the signature of the Registrar in ink;
 - 1.1.4.8.2. Valid TOEFL certificate with a minimum score of 550 (paper-based); 173 (computer-based); 70 (internet- based) or other Certification of English proficiency equivalent to the TOEFL requirement (e.g. IELTS band 6); a certificate that English is the medium of instruction in the university where the student has graduated from is sufficient to waive this requirement;

- 1.1.4.8.3. Affidavit of support or certificate of financial capability;
- 1.1.4.8.4. Photocopy of passport (original to be presented for verification); and
- 1.1.4.8.5. Alien certificate of residence for resident aliens.

- 1.1.4.9. Research experience beyond the Master's or equivalent degree, manifested as having been a co-author in at least three (3) published papers and a lead/first author of at least one (1) published paper in the intended or related area of specialization in reputable, refereed journals in the recent five (5) years. These publications should reflect broad and deep knowledge and experience in various research methodologies. Reprints or copies of the applicant's publications should be submitted together with the accomplished application form.
- 1.1.4.10. A capsule research proposal (not exceeding five pages), which shall include the title, research study area, statement of the problem, rationale and significance, research objectives, general methodology and analysis to be conducted, and references. Use only the required template (UPM-NGOHS Form A4) for the capsule proposal for easy evaluation.
- 1.1.4.11. Oral presentation of the capsule proposal before the Admission Committee.
- 1.1.4.12. A health and dental clearance from the University Health Service shall be obtained prior to enrollment or after receiving official notification of acceptance from the NGOHS.

1.2. The Dissertation Adviser

- 1.2.1. Upon acceptance, the Admission Committee shall identify potential advisers to an admitted student on the basis of the area of specialization that relates to the student's research topic and the results of the interviews. The student must seek a conforme from one of the suggested advisers, to whom s/he will report to for the entire duration of his/her residency in the programme.
- 1.2.2. The adviser must sign the Advisorship Confirmation Form to confirm his/her acceptance of the student to be under his/her supervision for the entire duration of the residency of the student.
- 1.2.3. Upon enrollment, students must report immediately to their dissertation adviser to finalize the capsule proposal and discuss the schedule of activities per year, including regular reporting of accomplishments.

1.3. Programme Implementation

- 1.3.1. Upon receipt of the official notification from the NGOHS, an applicant is deemed accepted to the programme.
- 1.3.2. The student shall enroll only the dissertation courses. These courses shall be taken consecutively with the first being a prerequisite of the second course (i.e., HS 400.1 [Dissertation I]) is a prerequisite for HS400.2 [Dissertation II]). Only when all the requirements for the preceding Dissertation course have been met will they be allowed to

enroll in the next dissertation course (e.g., HS 400.2).

- 1.3.3. Since the Dissertation courses are yearly courses, it will be enrolled once every year only.

1.4. The Dissertation Courses

- 1.4.1. The dissertation courses and their corresponding description and requirements are given below:

HS 400.1 (Dissertation I) - Dissertation proposal and candidacy.

Requirements:

- Attendance in one (1) national or one (1) international conference
- Completion of one (1) training workshop/training course related to the research topic s/he will pursue. It is preferred that the training/rotation be conducted in highly published laboratory or setting, locally, or internationally.
- Lead/first author of a proof-of-concept research paper that must be presented in any of the conferences and submitted for publication in a refereed journal.
- Dissertation proposal/candidacy examination (Note: the final proposal is a more refined version of the entry proposal submitted for admission and done in consultation with the research supervisor/adviser and co-adviser).

HS 400.2 (Dissertation II) - Dissertation research implementation I

Requirements:

- Presentation (poster or oral) of the research work in a national or international conference
- At least one (1) paper accepted for publication related to the research work in a Scopus- or ISI-indexed journal, as lead/first author or as a significant and major contributor to the work, as declared by the lead and co-authors.
- Presentation of research work in a colloquium

HS 400.3 (Dissertation III) - Dissertation research implementation II and final defense Requirements:

- Presentation (poster or oral) of the research work in a national or international conference
- At least two (2) papers accepted for publication related to the research work in a Scopus- or ISI-indexed journal, both as lead/first author, or as a significant and major contributor to the works, as declared by the lead and co-authors
- Final defense

1.5. The Dissertation Proposal

- 1.5.1. The student shall submit the written dissertation proposal to the Dissertation Adviser, Reader and panel members of at least two (2) weeks prior to proposal presentation.
- 1.5.2. A doctoral student who is scheduled for the defense of dissertation proposal must fill out the Notice of Master's/Dissertation Proposal Defense form (UPM-NGOHS Form # 12) and file it at the NGOHS one (1) month prior to the date of presentation.
- 1.5.3. If the student fails the proposal defense, s/he will be given a second

chance to improve the proposal on the same topic and defend this within the same academic year.

- 1.5.4. Approval for any request to change the topic shall be to the discretion of the Dissertation Panel. If the new topic is within the expertise of the current adviser, the request should only be discussed with the adviser.

1.6. The Dissertation Defense

- 1.6.1. A doctoral student who is scheduled for oral defense must submit the dissertation manuscript Dissertation Adviser, Reader and panel members at least two (2) weeks prior to the scheduled defense.
- 1.6.2. A doctoral student who is scheduled for oral defense must fill out the Notice of Master's Thesis/Dissertation Defense form (UPM-NGOHS Form # 13) and file it at the NGOHS one (1) month prior to the date of presentation.
- 1.6.3. If the student fails the oral defense, a second defense may be allowed at the discretion of the Dissertation Panel.

1.7. Dissertation in Absentia

- 1.7.1. Students who will do their dissertation outside the country shall request approval from the Graduate Program Committee of the degree-granting unit (DGU). The Dissertation Adviser, who will remain as the local research supervisor, shall endorse the said request. The local research supervisor shall continue to monitor the student's progress through regular reports.
- 1.7.2. The NGOHS Director shall give the foreign research supervisor an appointment as co-adviser and member of the Dissertation Panel.
- 1.7.3. Students who need to work for their dissertation in absentia shall first enroll in the dissertation course prior to departure, and pay residency fees as needed accordingly.
- 1.7.4. Students working in absentia shall make quarterly reports (noted by the foreign co-adviser) to the resident Dissertation Adviser.

1.8. Deferment of Admission and/or Registration

- 1.8.1. Should an admitted applicant be unable to begin studies during the term applied for, a request for deferment of admission (UPM-NGOHS Form # 09) to a later year can be made. Such request must be made not later than two (2) weeks after the start of the term for which admission has been granted. When granted, such deferment is valid for a maximum of one (1) academic year.
- 1.8.2. Applicants who have previously deferred their admission and decide to begin their studies under the program should write the University through the NGOHS at least two (2) months before the beginning of the term in which they wish to enter or their previous acceptance will be invalidated.

1.9. Honorable Dismissal

- 1.9.1. A student may request to withdraw from the program and be granted

an honorable dismissal. In that case, a written request stating the reason for withdrawing shall be endorsed by the Dean of the DGU and sent to the NGOHS.

- 1.9.2. Honorable dismissal is voluntary withdrawal from the University with the consent of the academic unit and the NGOHS.
- 1.9.3. All indebtedness to the University (financial or property accountability) must be settled before a statement of honorable dismissal can be issued.

1.10. Residence Requirement and the Maximum Residency Rule

- 1.10.1. Students must be officially enrolled or in residence at least one (1) academic year prior to the conferment of a PhD degree.
- 1.10.2. A maximum residency of five (5) calendar years, including leave of absence (LOA) from the start of the graduate work, i.e., upon admission to the program, shall be allowed for the fulfillment of all requirements for the PhD degree.
- 1.10.3. A student may request an extension of residency in case the maximum residence rule (MRR) is exceeded. The UPM-NGOHS Form # 08 shall be filled-out for this purpose and submitted on or before the following deadlines: second Friday of June for the first semester; second Friday of November for the second semester; and second Friday of April for the mid-year term.
- 1.10.4. An extension of no more than one (1) year upon recommendation of the adviser through channels shall be granted at a time, but in no case shall total more than three (3) years. Starting with the sixth year in residence, a student in MRR extension shall be required to present paper in a national/international conference for every year of extension.
- 1.10.5. A Progress Report after one (1) year shall be submitted to the NGOHS through proper channels.
- 1.10.6. Once approved, the date of extension period must be noted. Students on MRR who have not finished the requirements within the allotted extension period shall not be allowed to enroll in the succeeding year unless another MRR request is approved.

1.11. Requirements for Graduation

- 1.11.1. Prospective graduates are required to formally apply for graduation with their respective DGU during the prescribed period.
- 1.11.2. Graduating students are also required to submit six (6) bound copies of the doctoral dissertation manuscript to the NGOHS (refer to NGOHS bulletin for deadlines to submit the manuscript).
- 1.11.3. Graduating students are also required to submit a soft copy (in USB) of the manuscript, copies of the publications arising from the dissertation and the notebook(s) used during the dissertation work to the Dissertation Adviser.
- 1.11.4. Original copies of duly accomplished UPM-NGOHS Form # 03 (Completion/Approval Sheet) and UPM-NGOHS Form # 04 (Certificate of Acceptance) shall be included in each bound copy.

- 1.11.5. Settlement of deficiencies and clearing of records shall not be later than five (5) weeks before the end of the semester.

1.12. Schedule of Fees

- 1.12.1. The following fees shall be paid to the Cashier's Office, UP M
- 1.12.1.1. Application fee: to be paid upon submission of the application form for admission to the programme.
- 1.12.1.2. Tuition fees: to be paid yearly upon enrollment to the courses.
- 1.12.1.3. Graduation fees: to be paid prior to graduation.

2. GUIDELINES FOR DISSERTATION ADVISERS/ DISSERTATION PANEL

- 2.1. After the interview of applicants, the Admission Committee will suggest at most three (3) potential advisers to each accepted applicant.
- 2.2. The NGOHS will communicate with the potential advisers that based on their expertise they have been selected as potential advisers for the accepted applicant.
- 2.3. Within two (2) weeks upon receipt of notice from the Admission Committee, the admitted applicant must ask and seek a conforme with one of the suggested dissertation advisers, to whom s/he will report to for the entire duration of his/her residency in the programme.
- 2.4. The adviser must accomplish the Advisorship Confirmation Form to confirm his/her acceptance of the student to be under his/her supervision for the entire duration of the residency of the student.
- 2.5. The NGOHS shall inform and give appointment to the adviser of each of the accepted applicants to the programme.
- 2.6. Upon enrollment, students must report immediately to their dissertation adviser to finalize the capsule proposal and discuss the schedule of activities per year, including regular reporting of accomplishments.
- 2.7. The Dissertation Adviser shall:
 - 2.7.1. Advise the student in the preparation of the dissertation proposal;
 - 2.7.2. Include the student as member of his/her research team
 - 2.7.3. Guide and monitor the student's research;
 - 2.7.4. Endorse the dissertation proposal and final paper to the Dissertation panel for oral defense
 - 2.7.5. Give grades in HS 400.1 and HS 400.2. The grading system shall be as follows:
 - 2.7.5.1. Satisfactory (S) - if the student has completed all the requirements for the dissertation course.
 - 2.7.5.2. Incomplete (INC) - if at least one of the requirements has not been complied with
 - 2.7.5.3. Unsatisfactory (U) - if the student has no significant output for the dissertation course.
- 2.8. For dissertation topics that are multidisciplinary in nature and therefore requires a co-adviser from a different College or department, the partner

colleges shall agree, which unit shall be mainly responsible for the administration of the programme. The lead unit shall inform the NGOHS of the agreement.

- 2.9. If a student will work on his/her dissertation project outside the country, the Dissertation Adviser shall remain as the local research supervisor and shall continue to monitor the progress of the student's research while closely collaborating/communicating with the foreign co-adviser.
- 2.10. A Dissertation Panel shall be assigned for each doctoral student and shall be comprised of an adviser, a reader/critic, and at least three (3) other members.
- 2.11. The function of the Reader/Critic is to evaluate and endorse the dissertation paper to the panel for oral defense.
- 2.12. The function of the other members of the panel is to provide guidance or constructive criticisms for the improvement of the proposal or the completed research.
- 2.13. Prior to the proposal defense, the Dissertation Panel shall elect a chair from among them. Anyone of them is eligible to be chair except the Dissertation Adviser.
- 2.14. The same set of members should comprise the Dissertation Panel for both the proposal and oral defense.

3. ADMINISTRATION OF THE PROGRAMME

- 3.1. The programme shall be administered by the Office of the Vice Chancellor for Academic Affairs (OVCAA) through the National Graduate Office for the Health Sciences (NGOHS).

3.2. Admission Process

- 3.2.1. The NGOHS will accept and perform the initial screening of the submitted documents prior to endorsement to the Screening/Admission Committee. Initial screening will include the set minimum criteria for admission as approved by the Board of Regents (BOR).
- 3.2.2. The Admission Committee shall be constituted by the NGOHS and shall be endorsed to the Chancellor for approval.
- 3.2.3. Upon receipt of the documents, the NGOHS shall convene the Admission Committee to conduct the initial screening and interview of applicants.
- 3.2.4. After the interview of applicants, the Admission Committee will suggest at most three (3) potential advisers to each accepted applicant.
- 3.2.5. Within two (2) weeks upon receipt of notice from the Admission Committee, the admitted applicant must ask and seek a conforme from one of the suggested dissertation advisers, to whom s/he will report to for the entire duration of his/her residency in the programme.
- 3.2.6. The adviser must sign the Advisorship Confirmation Form to confirm his/her acceptance of the student to be under his/her supervision for the entire duration of the residency of the student.
- 3.2.7. The NGOHS shall inform and give appointment to the adviser of each of the accepted applicants to the programme.
- 3.2.8. Upon enrollment, students must report immediately to their dissertation

adviser to finalize the capsule proposal and discuss the schedule of activities per year, including regular reporting of accomplishments.

- 3.2.9. The appointment as dissertation advisers is based on the following:
- 3.2.9.1. The adviser must be doing active research and/or is affiliated to a research group.
 - 3.2.9.2. The adviser must have a doctoral degree (Ph.D., DrPh, Dr. Eng., D.Sc., etc.).
 - 3.2.9.3. The adviser must be a regular faculty member or a Professor Emeritus.
 - 3.2.9.4. The adviser must have been the senior author of at least one (1) published scholarly paper in his/her field of specialization.
 - 3.2.9.5. The adviser must have been an adviser of at least one (1) student who has earned a masters degree.
- 3.2.10. The degree-granting unit, (DGU) shall be the College where the research supervisor/adviser is affiliated. Research shall also be conducted in the department where the dissertation adviser/research supervisor has a primary appointment unless arrangements with other units have been previously agreed upon.
- 3.2.11. The Admission Committee shall submit the list of successful applicants to NGOHS, which shall endorse the list to the Deans of the different degree-granting unit (DGU), copy-furnished the Office of the College Secretary.
- 3.2.12. The NGOHS shall announce the list of accepted applicants through their website at ngohs.upm.edu.ph and inform them through email. The NGOHS Director shall also issue an official Letter of Acceptance to successful applicants. The schedule of registration, start of classes, and other important information for students shall be included in the admission letter. Moreover, the following documents/forms are attached: Flowchart for Registration, Program of Study (UPM-NGOHS Form # 07), and Deferment Form (UPM - NGOHS Form #9).

3.3. The Dissertation Adviser and Panel

- 3.3.1 After the interview of applicants, the Admission Committee will suggest at most three (3) potential advisers to each accepted applicant.
- 3.3.2 The NGOHS shall communicate with the potential advisers that based on their expertise they have been selected as potential advisers for the accepted applicant.
- 3.3.3 Within two (2) weeks upon receipt of notice from the Admission Committee, the admitted applicant must ask and seek a conforme with one of the suggested dissertation advisers, to whom s/he will report to for the entire duration of his/her residency in the programme.
- 3.3.4 The appointment of the dissertation adviser shall be based on the following criteria:
 - 3.3.4.1 S/he must have a doctoral degree.

- 3.3.4.2 S/he must be a regular faculty member
- 3.3.4.3 S/he must have been the senior author of at least one (1) published scholarly paper in their field of specialization; and
- 3.3.4.4 S/he must have been an adviser of at least one (1) student who earned a master's degree.

3.3.1. A Dissertation Panel shall be assigned for each doctoral student and shall be comprised of an adviser, a reader/critic, and at least three (3) other members. They shall be endorsed by the Dean of the DGU and given appointments to sit as members of the Dissertation Panel by the NGOHS. The adviser and the rest of the panel members shall be doctoral degree holders. A maximum of two (2) members out of five (5) may come from an external institution i.e. outside the department, institute, college, or university.

3.3.2. When a request for a change in advising assignment is made due to justifiable reasons (e.g. breach in the learning contract, faculty leave, retirement of adviser, etc.), the NGOHS shall issue the new appointment to the new dissertation adviser. In cases when the adviser is due for retirement, the DGU (department Chair endorsed to the Dean) must submit the request to the NGOHS through Channels at least a semester before the original adviser's date of retirement. Alternatively, the retired adviser may still serve as adviser provided that s/he is given appointment by the university.

3.3.3. The Reader/Critic shall also be chosen based on specialization and may come from other colleges or universities. He/she shall evaluate the dissertation proposal and/or research paper for defense.

3.4. The Dissertation Proposal

3.4.1. A doctoral student who is scheduled for the defense of dissertation proposal must fill out the Notice of Master's/Dissertation Proposal Defense form (UPM-NGOHS Form # 12) and file it at the NGOHS one (1) month prior to the date of presentation

3.4.2. The Dissertation Panel shall be informed in writing of the schedule for the defense of the proposal. Proposal defense shall be conducted at the College where the student is enrolled in and where the Dissertation Adviser's primary appointment is.

3.4.3. The Adviser must provide the College Secretary of the academic unit a copy of the report bearing the result of the oral presentation of the proposal. This should then be forwarded to the NGOHS within one (1) week after the scheduled presentation.

3.5. The Dissertation Defense

3.5.1. The Dissertation Panel shall be informed in writing of the schedule for the oral defense of the Dissertation.

3.5.2. The doctoral defense must be held in the respective DGU. The time, place, and duration of the defense shall be officially announced and posted at the bulletin boards of the NGOHS and at the office of the College Secretary of the unit.

3.5.3. The dissertation defense may only proceed if:

3.5.3.1. The dissertation manuscript has been received by each member of the dissertation panel at least two (2) weeks prior to the scheduled defense; and

3.5.3.2. Both the Dissertation Adviser and the Reader/Critic and at least two (2) other panel members are present. If any member of the panel is absent (either foreign co-adviser or local examiner), he/she shall be required to send his/her written comments to the Chair of the panel who shall integrate this in the oral defense and in the final report. The absence of a panel member must be highly justifiable.

3.5.4. The doctoral defense shall be a public oral examination, the duration of which shall be left to the discretion of the panel. However, the evaluation and rating shall be done by the panel in a closed-door meeting to be held immediately after the defense.

3.5.5. The rating for the dissertation defense shall be any of the following:

3.5.5.1 "Approved" - means that the student is able to meet the objectives set during the proposal presentation and that the results and discussions were able to support the hypothesis presented. A passing grade may be qualified as follows:

3.5.5.1.1 "Approved" with no revisions

3.5.5.1.2 "Approved" with minor revisions (pertaining to language, titles, etc.)

3.5.5.1.3 "Approved" with major revisions (more extensive discussion, additional minor experiment to validate results); each panel member should indicate in the form provided by NGOHS the required revisions based on his/her comments.

3.5.5.1. "Disapproved" - means that the student is unable to meet the objectives, devise strategies to meet the objectives and explain results through extensive discussion and citations from literature to support the conclusion. Any member who fails the student must specify the reason(s) in writing, a copy of which shall be attached to the report of the panel. A second oral defense may be permitted and scheduled within the academic year at the discretion of the Dissertation Panel. In case the student is granted a second oral defense, failure to pass this disqualifies the students from their current doctoral program. Moreover, a rating of "Disapproved" in the second defense shall disqualify the student from being admitted into the other doctoral program offered by the same department or college.

3.6. Dissertation in Absentia

3.6.1. Dissertation in absentia refers to dissertation work done outside of the country.

3.6.2. A student may be allowed to work outside the country upon the

endorsement of the Dissertation Adviser and Dean of the College and approval of the Graduate Programme Committee.

- 3.6.3. A foreign co-adviser where the student will work in absentia must be given appointment as a member of the Dissertation Panel by the NGOHS Director upon recommendation of the College.

3.7. Residence Requirement and Maximum Residency Rule

- 3.7.1. The University Rule for residency of at least one (1) academic year prior to the conferment of the degree applies.
- 3.7.2. The student under the Ph.D. by Research programme shall be allowed a maximum residency of five (5) calendar years, including leave of absence (LOA) from the start of the graduate work.
- 3.7.3. A student requesting for extension of residency may be granted approval provided the delay to fulfill all requirements to complete the degree is due to justifiable causes. The UPM-NGOHS Form # 08 shall be filled-out for this purpose and submitted on or before the following deadlines: second Friday of June for the first semester; second Friday of November for the second semester; and second Friday of April for the mid-year term.
- 3.7.4. An extension of no more than one (1) year upon recommendation of the adviser through channels shall be granted at a time, but in no case shall total more than three (3) years.
- 3.7.5. The NGOHS shall require periodic/ semestral progress report duly noted by the Dissertation Adviser.
- 3.7.6. All requests for extension should be submitted to the NGOHS at least one month prior to the enrollment or registration period.
- 3.7.7. Once approved, the date of extension period must be noted. Students on MRR who have not finished the requirements within the allotted extension period shall not be allowed to enroll in the succeeding year unless another MRR request is approved.

3.8. Requirements for Graduation

- 3.8.1. Prospective graduates are required to formally apply for graduation with their respective DGU during the prescribed period.
- 3.8.2. Graduating students are also required to submit six (6) bound copies of the doctoral dissertation manuscript to the NGOHS (refer to NGOHS bulletin for deadlines to submit the manuscript).
- 3.8.3. Graduating students are also required to submit a soft copy (in USB) of the manuscript, copies of the publications arising from the dissertation and the notebook(s) used during the dissertation work to the Dissertation Adviser.
- 3.8.4. Original copies of duly accomplished UPM-NGOHS Form # 03 (Completion/Approval Sheet) and UPM-NGOHS Form # 04 (Certificate of Acceptance) shall be included in each bound copy.
- 3.8.5. Settlement of deficiencies and clearing of records shall not be later than five (5) weeks before the end of the semester