

**GUIDELINES FOR THE IMPLEMENTATION OF THE
PhD in Health Sciences (by Publication)
of the
University of the Philippines Manila**

(Approved by the UP Manila Graduate Management Team on March 19, 2021)

The PhD in Health Sciences (by Publication) of the University of the Philippines Manila is a programme intended for mid-career academics who have already made significant contributions to the generation of new knowledge in their respective fields in the health sciences. The programme welcomes applications from both in-house faculty candidates with tenured positions within the University, as well as external candidates.

The program shall be administered by the National Graduate Office for the Health Sciences (NGOHS) under the Office of the Vice Chancellor for Academic Affairs.

The Implementing Rules and Regulations (IRR) for the PhD in Health Sciences (By Publication) are presented in the following sections:

Section No.	Section title
1	Application Requirements
2	Application Procedure
3	The Doctoral Defense Committee
4	Programme Implementation
5	The Dissertation Courses
6	The Dissertation
7	The Dissertation Defense
8	Deferment of Admission
9	Honorable Dismissal
10	Residence Requirement and Maximum Residency
11	Requirements for Graduation
12	Schedule of Fees

1. Application Requirements

1.1. The general NGOHS requirements for admission into the PhD programme shall include:

- 1.1.1. A duly completed Application Form;
- 1.1.2. Certified true copy of Diplomas (Masters and/or MD) with the seal of the university and the signature of the registrar in ink; and Certificate of Residency Training and/or Fellowship (for MDs) with the signature of the Hospital Director or Program Director
- 1.1.3. Four (4) passport-size photos;
- 1.1.4. At least two (2) completed personalized recommendation letters from former professors, supervisors, research collaborators, and other experts in the field providing particular incidences or evidence that demonstrate competencies and significant contributions of the applicant to the field;
The recommendations must be sent directly to the NGOHS through email by the referees and using the institution's letterhead where the referees are currently affiliated with.
- 1.1.5. Official receipt of the application/processing fee paid at the UP Manila Cash Division.
- 1.1.6. Additional requirements for foreign applicants:
 - Certified true copy of the English translation of the diploma, with the seal of the university and the signature of the Registrar in ink;

- Certified true copy of the English translation of the residency or fellowship training certificate, with the signature of the Hospital Director or Program Director;
- Valid TOEFL certificate with a minimum score of 550 (paper-based); 220 (computer-based); 85 (internet-based) or other Certification of English proficiency equivalent to the TOEFL requirement (e.g. IELTS band 6.5);

A certificate that English is the medium of instruction in the university where the student has previously graduated from is sufficient to waive this requirement.

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

1.2. The specific requirements for admission to the PhD in Health Sciences (By Publication) shall be:

1.2.1. A Master's degree in related health sciences from a recognized institution: or a Doctor of Medicine degree with specialization (residency and/or fellowship), AND without a PhD degree;

1.2.2. An application letter, addressed to the Director of the NGOHS, indicating the intent to enroll to the PhD in Health Sciences (By Publication) and the research area of specialization and interest;

Note: The research area of specialization should be within the scope and related to the health care area of specialization of the applicant's residency or fellowship training (for MDs) or the Master's degree.

1.2.3. Completed Research Productivity and Scientific Recognition Assessment Form (Appendix 2 : UPM-NGS-OP-09F1);

1.2.4. Proof of research experience beyond the Master's or equivalent degree, and consistent research productivity, within a pre-specified health-related area of specialization, manifested by a **minimum score of 55 points** in the Research Productivity section of the Assessment Form;

Note: Reprints or copies of the applicant's publications and documentary proofs of the other works cited in the form should be submitted together with the completed application form.

1.2.5. Evidence of high level of recognition by the scientific community as a leader in the pre-specified health-related area of specialization, manifested by a **minimum score of 20 points** in the Scientific Recognition section of the Assessment Form;

Note: Documentary proof of reported accomplishments cited in the form should be submitted together with the completed application form.

1.2.6. An outline of the dissertation that will demonstrate new knowledge in the specified area of specialization of the applicant, incorporating at least 4 interrelated scientific papers (original research, systematic reviews, policy papers, case reports) published in peer-reviewed, ISI/Scopus-indexed journals in the recent 10 years, where the applicant is an author with significant contribution to the works, with an accompanying declaration of the applicant's extent of contribution to each of the published works;

Note: Excluded are publications that were credited for a previous degree.

1.2.7. Copies of the scientific publications that will be integrated for the dissertation;

1.2.8. A list of names, designations, and institutional affiliations of potential PhD supervisor [Please refer to Section 3.3-3.7 for qualifications of potential supervisor];

1.2.9. An interview and presentation of the dissertation outline (capsule proposal) before the PhD in Health Sciences (by Publication) Screening Committee.

2. Application Procedure

The step-by-step application process to the PhD in Health Science (by Publication) shall be as follows:

2.1. All application documents should be filed at the University of the Philippines Manila - National Graduate Office for the Health Sciences (NGOHS), 3rd Floor Joaquin Gonzales Bldg., P. Faura

corner Ma. Orosa St., Ermita Manila. Application documents may also be submitted online through the NGOHS email at upm-ngohs@up.edu.ph.

- 2.2. All application documents must be received by the NGOHS by the last working day of April of each year for the First Semester and last working day of October for the Second Semester. The NGOHS accepts applications all year round. However, applications received after the deadline (April 30 for first semester, Oct 31 for second semester) will be considered for the next application period.
- 2.3. The NGOHS will screen all applications in terms of completeness of application requirements.
- 2.4. The completed Research Productivity and Scientific Recognition Assessment form [UPM-NGS-OP-09F1], together with copies of supporting documents (published articles, certificates, etc.), will be forwarded to the UP Manila Research Grant Administration Office (RGAO) staff under the Office of the Vice Chancellor for Research for the verification of certificates, for checking the veracity of published articles, and for validation of the crediting of points for all entries. [The RGAO staff shall be asked to sign a Non-Disclosure Agreement and shall be paid corresponding honoraria.]
- 2.5. The NGOHS shall convene the Screening Committee, whose members will be endorsed to the Chancellor for approval and appointment.
- 2.6. The Screening Committee will only deliberate on applications every semester after the set deadline of applications and verification of application documents.
- 2.7. The Screening Committee shall be convened and shall be comprised of at least three (3) faculty members who are PhD holders or are University Scientists.
- 2.8. If the composition of the Screening Committee does not have an expertise on the field of the applicant, then an expert from the prospective degree-granting unit (DGU) shall be invited to join the Screening Committee for the applicant interview and assessment of the submitted portfolio to determine the eligibility of the applicant. A formal letter of request from the NGOHS shall be sent to the prospective DGU to identify the DGU representative to the Screening Committee (in an Ad Hoc capacity) depending on the field of the applicant.
- 2.9. The Screening Committee shall perform the following tasks:
 - 2.9.1 Determine the eligibility of the applicant in terms of achieving the required points based on the computed final scores in the Research Productivity and Scientific Recognition Assessment Form;
 - 2.9.2 Assign the degree-granting unit (DGU) to which the applicant will enroll in; [The selection of the DGU will depend largely on the nature of the dissertation topic.]
 - 2.9.3 Recommend to the DGU the initial Doctoral Defense Committee members (at least 2) for each applicant, one of whom must be from the assigned DGU who will serve as the Dissertation Supervisor (*see qualification of panel members in Section 3.7*);
 - 2.9.4 Endorse all eligible applicants to the NGOHS.
- 2.10. The Screening Committee shall submit the list of eligible applicants to the NGOHS, which shall endorse the list to the Dean of the concerned DGU, copy-furnished the Office of the College Secretary.
- 2.11. The NGOHS Director shall issue an official Letter of Acceptance to successful applicants by email and postal mail. The schedule of registration and information for students shall be included in the admission letter. The following documents/forms shall also be attached: Flowchart for Registration, Program of Study (UPM-NGOHS Form # 07), and Deferment Form (UPM - NGOHS Form # 09).
- 2.12. A health and dental clearance from the University Health Service shall be obtained by the accepted applicant prior to enrollment or after receiving official notification of acceptance from the NGOHS. For foreign-based applicants, a copy of medical and laboratory exam results obtained from their local health clinic must be emailed to the University Health Service for documentation and validation.

3. The Doctoral Defense Committee

- 3.1 The Doctoral Defense Committee (DDC) for each student shall be constituted upon the student's enrollment to the programme.
- 3.2 It must be comprised of 5 members: Dissertation Supervisor and 4 other panel members who will serve both as content experts and examiners. A Co-Supervisor may also be assigned if necessary.

- 3.3 The Dissertation Supervisor shall be a Full Professor with a PhD and must satisfy all the other qualifications listed under 3.7.
- 3.4 An external Supervisor (Full Professor with a PhD) can be appointed if there is no faculty in UP Manila who is a content expert in the field of study. The external Supervisor must be from a partner university with which UP has a formal linkage with. Co-supervisor (Full Professor with a PhD) should be from UP Manila if the dissertation Supervisor is external to UPM.
- 3.5 The external Supervisor shall be given a visiting professorship (if from a foreign university), an affiliate professorship (if within UP system), or adjunct professorship (if from local institution outside UP System). The Dean of the DGU shall endorse the appointment of the external Supervisor specifying the intended roles and responsibilities, including being a Supervisor for a PhD by Publication student. The College Secretary and College Academic Personnel & Fellowship Committee (APFC) must strictly follow-up the recommendation letter from the HRDO to avoid any delay in the issuance of the visiting/affiliate/adjunct professorship appointment.
- 3.6 The Dissertation Supervisor shall recommend potential members of the Doctoral Defense Committee.
- 3.7 The Doctoral Defense Committee member must satisfy ALL of the following:
 - have a doctoral degree
 - be a regular, tenured faculty member, OR Professorial Lecturer, Professor Emeritus, UPM Faculty retiree or an external expert in the dissertation topic, who shall be given an adjunct faculty appointment by the DGU, after due process of credentialing by the Academic Personnel & Fellowship Committee (APFC)
 - have been a lead or a senior author of at least three (3) published scholarly papers in his/her field of specialization
 - have been an Adviser of at least two (2) graduate students who earned at least a master's degree
 - be an expert (content or methodological) in the field of health sciences related to the topic of the proposed dissertation of the student, as shown by scholarly work
 - *except in meritorious cases*, such as highly exceptional academic credentials with any of the following: (1) at least 10 years of professional experience in his/her field of specialization; (2) recognition as a national or global expert in their field substantiated by awards or distinction from a nationally or internationally recognized professional or scientific organization
- 3.8 The NGOHS will validate the credentials and eligibility of the recommended members of the Doctoral Defense Committee.
- 3.9 The NGOHS Director shall issue appointments to the members of the panel while the visiting/affiliate/adjunct professorship appointment is underway, if applicable. The appointment letters must be noted by the Chancellor and coursed through the Dean and College Secretary of the DGU for dissemination to the Doctoral Defense Committee members.
- 3.10 The Dissertation Supervisor will serve as the adviser and promoter in the dissertation defense process.
- 3.11 The other members of the Doctoral Defense Committee shall be assigned the role of examiners but at the same time as content experts to help the student in the development of his/her dissertation manuscript.
- 3.12 All Doctoral Defense Committee members shall be asked to sign a *Conforme* stating that they accept the responsibility and will attend to all the duties of the position.
- 3.13 Changes in supervisory assignment may be requested for justifiable reasons (e.g., breach in the learning contract, faculty leave, retirement of adviser, etc.). In cases where the adviser is due for retirement, the Department Chair must submit the request to the NGOHS through channels at least a semester before the original adviser's date of retirement. Newly retired faculty may, however, be recommended as an affiliate faculty to still serve as Dissertation Supervisor.
- 3.14 The same set of members shall comprise the Doctoral Defense Committee for the proposal and final oral defense. Changes in the composition of committee members may be requested for justifiable reasons (e.g., faculty leave, incapacitation, etc), and must have the approval of the NGOHS Director.

4. Programme Implementation

- 4.1. Upon receipt of the official notification from the NGOHS, an applicant shall be deemed accepted to the programme.
- 4.2. 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., HSP 400.1 is a prerequisite for HSP 400.2). Only when all the requirements for the preceding Dissertation course have been met will the student be allowed to enroll in the next dissertation course.
- 4.3. Upon enrollment, the student shall report immediately to the Dissertation Supervisor. Alternative arrangements need to be made if Supervisor is external to UPM.
- 4.4. In consultation with the Supervisor, the student shall start constituting or assigning the composition of the Doctoral Defense Committee members. [See Section 3.6 to 3.7]
- 4.5. The DGU, if necessary, shall recommend the appointment to visiting/affiliate/adjunct professorship of the external Supervisor.
- 4.6. The NGOHS Director shall issue appointments to the members of the committee while the visiting/affiliate/adjunct professorship appointment is underway, if applicable [See Section 3.9].
- 4.7. The student shall accomplish the Application for Manuscript Assessment and Admission to Doctoral Defense Exam [UPM-NGOHS Form # 15] indicating the (1) general topic of the manuscript to be developed and (2) composition of the committee members who will do the assessment.
- 4.8. Dissertation in Absentia is not allowed in the programme.

5. The Dissertation Courses

The dissertation courses and corresponding description and requirements are given below:

Course Number : **HSP 400.1**

Course Title : Dissertation Proposal and Implementation

Course Description : Dissertation proposal and integration of scientific papers

Course Credit : 6 units

Course Requirements :

- Submission of the dissertation proposal to integrate at least 4 interrelated scientific papers, published in peer-reviewed, ISI/Scopus-indexed journals in the recent 10 years, where the student is an author with significant contribution to the works (an accompanying declaration of the applicant's extent of contribution to the work behind each publication, either from the co-authors or as published should be submitted).
- Approval by the Doctoral Defense Committee of the manuscript
- Successful public defense* of the proposal
- Certification of the dissertation as "a coherent and original body of knowledge of doctorate level" by an external expert** in the health-related field of specialization of the dissertation topic.

*Note 1: The term "public" means having a platform for the public to interact with the PhD candidate re: his/her dissertation proposal. The **public** proposal defense may be accomplished by sharing of the student's dissertation proposal abstract in the NGOHS website [allowing for stakeholders' interaction with the student through comments and suggestions within a specified deadline].

**Note 2: The "external expert" may come from the doctoral committee/panel members.

Course Number : **HSP 400.2**

Course Title : Dissertation Defense and Dissemination

Course Description : Defense of integrative paper and publication

Course Credit : 6 units

Course Requirement :

- Successful public defense of the dissertation (integrative paper)
- Submission of the final dissertation

- Publication or acceptance for publication of the dissertation, or an integral part of it, in a peer-reviewed, ISI/Scopus-indexed journal.

Note: Article accepted for publication in ISI/Scopus-indexed journal may be in the form of feature article/commentary emanating from the previously published papers or any new research paper (i.e., not yet published) that is still part of the student's dissertation. A special agreement between the NGOHS and *Acta Medica Philippina* Editor-In-Chief must be forged to ensure timely peer review and processing of the article.

The grade to be given to each course is **S**=satisfactory or **U**=unsatisfactory, depending on the student's ability to fulfill the requirements of the course.

6. The Dissertation - The Dissertation should include a full explanatory overview that links the separate publications and places them in the context of an established body of knowledge and should end with a concluding chapter. A comprehensive literature review should provide the necessary context for the integration of the publications. The coherent and critical discussion of the findings of the separate papers, as an integrated whole, should address a significant research question and present a clearly identified original contribution of knowledge to the subject it deals.

7. The Dissertation Defense

- 7.1. A doctoral student who is scheduled for oral defense shall 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. The student must attach with this application a letter containing the name of the student, graduate program enrolled in, title of study, list of panel members and the date and venue of the oral defense.
- 7.2. The Doctoral Defense Committee (DDC) shall be informed in writing of the schedule for the oral defense.
- 7.3. The doctoral defense must be held in the respective DGU. The time, place, and duration of the defense shall be officially announced and posted in the NGOHS website and digital signage, as well as in the bulletin boards of the DGU's Office of the College Secretary.
- 7.4. The dissertation defense shall only proceed if:
 - The dissertation manuscript has been received by each member of the dissertation panel at least four (4) weeks prior to the scheduled defense; and
 - Only one member of the Doctoral Defense Committee is absent, physically or virtually. If a member of the panel is absent, he/she shall be required to send his/her written comments to the Supervisor who shall integrate them in the oral defense and in the final report. The absence of a panel member must be highly justifiable.
- 7.5. The doctoral defense shall be a public oral examination and must be completed within 1-2 hour/s (e.g. Fifteen minutes presentation/exposition during which the Committee meets in a separate room (or breakout room, if virtual) while the audience listen; then the Committee members come in and ask questions for 45 min. Audience may be allowed to ask questions when there is still time within the 45 min time-frame. The Committee members will then exit to deliberate and come back for the decision.).
- 7.6. The evaluation and rating shall be done by the Committee in a closed-door meeting, to be held immediately after the defense. Except for the Dissertation Supervisor(s), all other members of the committee have the right to vote. However, the Dissertation Supervisor(s) can, however, participate in the deliberation of the committee.
- 7.7. The evaluation of the dissertation shall use the following framework:
 - 7.7.1. The work as a whole makes an original contribution to the knowledge of the subject with which it deals;
 - 7.7.2. The work provides sufficient comprehensive study of the topic appropriate to a doctorate level in the specified area of health;
 - 7.7.3. The research findings are adequately presented and critically discussed in the context of the specified area of health
- 7.8. The rating for the dissertation defense shall be any of the following:

7.8.1 **“Passed”** means that the student is able to meet the objectives set and that the results and discussions were able to support the hypothesis presented. A passing grade may be qualified as follows:

- “Passed” with *no revisions*
- “Passed” with *minor revisions* (pertaining to language, titles)
- “Passed” with *major revisions* (more extensive discussion, further validation of results); each panel member should indicate in the form provided by NGOHS the required revisions based on his/her comments.

7.8.2 **“Failed”** 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 one calendar year at the discretion of the DDC. 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 “Failed” in the second defense shall disqualify the student from being admitted into the other doctoral program offered by the same department or college.

7.9 The Doctoral Defense Committee shall deliberate as to whom the revision will be submitted to, either to any member of the Committee or to the Supervisor only.

8. Deferment of Admission and/or Registration

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.

8.2 Applicants who have previously deferred their admission and decide to begin their studies under the programme 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.

9. Honorable Dismissal

9.1 A student may request to withdraw from the program and be granted an honorable dismissal. Honorable dismissal is voluntary withdrawal from the University with the consent of the academic unit and the NGOHS.

9.2. In such case, a written request stating the reason for withdrawing, endorsed by the Dean of the academic unit, should be sent to the NGOHS.

9.3. All indebtedness to the University (financial or property accountability) must be settled before a statement of honorable dismissal can be issued.

10. Residence Requirement and Maximum Residency

10.1 Students must be officially enrolled or in residence at least one (1) academic year prior to the conferment of a PhD degree.

10.2 A maximum residency of two (2) academic 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 (By Publication) degree.

10.3 An extension of residency shall not apply to this program.

**Computation of MRR* : no. of year of the programme x 1.5 + no. of year of the programme =
 $1 \times 1.5 + 1 = 2.5$ (rounded to 2)

11. Requirements for Graduation

- 11.1 Prospective graduates shall formally apply for graduation with their respective Colleges (DGU) during the prescribed period.
- 11.2 Graduating students shall submit two (2) bound copies of the final manuscript (book or traditional manuscript) to the NGOHS. An electronic copy of the manuscript in PDF must be uploaded in the UP Manila library. The deadlines for submission are as follows:
 - 11.2.1 For first semester graduates: first day of regular registration of the succeeding semester, i.e., the second semester of the same academic year;
 - 11.2.2 For second semester graduates: the day before the University Council Meeting where the graduate faculty meets to decide graduation of the students; and
 - 11.2.3 For mid-year term graduates: first day of regular registration of the succeeding semester, i.e., the first semester of the succeeding academic year.
- 11.3 Original copies of the completed UPM-NGOHS Form # 03 (Completion/Approval Sheet) and UPM-NGOHS Form # 04 (Certificate of Acceptance) shall be included in each bound copy.
- 11.4 Settlement of deficiencies and clearing of records shall not be later than five (5) weeks before the end of the semester.

12. Schedule of Fees

The following fees shall be paid to the Cashier's Office, UP Manila:

- 12.1. *Application fee*: to be paid upon submission of the application form for admission to the program
- 12.2. *Tuition fees*: to be paid yearly upon enrollment to the courses
- 12.3. *Graduation fees*: to be paid prior to graduation

APPENDICES

- 1 Application Form
- 2 Research Productivity and Scientific Recognition Assessment Form (UPM-NGS-OP-09F1)
- 3 Process Flow Chart for Registration
- 4 Program of Study
- 5 Deferment Form (UPM-NGOHS Form # 09)
- 6 Manuscript Assessment and Admission to Doctoral Defense Form (UPM-NGOHS Form # 15)
- 7 Evaluation Rating Form

---end---

The PhD in Health Sciences (By Publication) Screening Committee (2020-2023)

Dean Charlotte M. Chiong, MD, PhD (Chair)
Arnold V. Hallare+, Dr. rer nat (Ex-Officio/Co-Chair)
Dean Maria Eliza R. Aguila, PhD
Nina T. Castillo-Carandang, MA, MSc, PhD
Leslie Michelle M. Dalmacio, PhD
Maria Rina Reyes-Quintos, MD, PhD
Catherine Lynn T. Silao, MD, PhD