

Guidelines for Doctoral Programs (1126th BOR Meeting: 26 November 1998)

Admission

Admission into a doctoral program shall require:

- 1) a bachelor's Degree, in the case of a direct doctoral program, or a master's degree or its equivalent, from a recognized institution of higher learning;
- 2) intellectual capacity and aptitude for advanced studies and research;
- 3) language proficiency; and
- 4) satisfaction of additional University requirements, such as a health clearance, and other special admission requirements that may be imposed by the College/unit or Graduate Office/Committee concerned approved by appropriate bodies [*Refer to Graduate Admission Requirements part of this section*].

Proof of English and/or Filipino proficiency shall be required of students whose native language is not English or Filipino, except those who graduated from institutions where the medium of instruction is English or Filipino. For English proficiency, a score of at least 500 in the paper-based, or at least 173 in the computer-based, or at least 61 in the internet-based (IBT) forms of the Test of English as a Foreign Language (TOEFL) or at least a score of 5.5 in the International English Language Testing System (IELTS) or a certification from a duly authorized unit of the University shall be required. For proficiency in Filipino and other Filipino Languages, a certification shall be required from a duly authorized unit of the University [1126th BOR Meeting: 26 November 1998, amended at 1296th BOR Approval: 27 February 2014].

Each application for admission into a doctoral program shall be accomplished in the official application form and accompanied with the official transcript of records, written recommendations from two (2) former professors or experts in the field the student is seeking admission into, and the officially prescribed application fee.

Each application shall be submitted to the appropriate Graduate Office/Committee, and referred to the head of the College/Unit concerned for evaluation. The deserving applicant shall be recommended for admission by the latter to the Dean/Director, through channels.

Applications for a System program shall be submitted to the appropriate body in the autonomous unit where the System program is being offered.

General Requirements

- 1) Completion of a Program of Study consisting of at least forty-five (45) units of formal graduate courses, excluding dissertation, in the case of a student admitted into the doctoral program with only a bachelor's degree in the discipline, or a master's degree in an unrelated field; and of at least twenty-four (24) units of formal graduate courses, excluding dissertation, in the case of a student admitted into the doctoral program with a master's degree in the discipline.
- 2) Maintenance of a Cumulative Weighted Average Grade (CWAG) of 1.75 or better at the end of each academic year until completion of the Program of Study.
- 3) Passing of a Qualifying Examination after completion of the core courses in the Program of Study, where applicable.
- 4) Passing the Candidacy Examination after completion of all course work in the student's Program of Study and those units stipulated by the Residence Rules [*Refer to Residence Rules of this section*], if applicable.
- 5) Being in residence in the program during the following phases:
 - a) Candidacy examination period;
 - b) Defense of the research proposal;
 - c) Duration of the research; and
 - d) Oral defense of the dissertation.

- 6) Completion of a doctoral dissertation based on independent and original research.
- 7) Successful oral defense of the doctoral dissertation in a public doctoral examination.
- 8) Submission of at least five (5) certified bound copies of approved doctoral dissertation.
- 9) Submission of a pre-print paper.

Program Adviser/Committee and Program of Study

The Program Adviser/Committee

Each student admitted into a doctoral program shall be assigned a Program Adviser/Committee composed of three (3) professors, all of whom have doctoral degrees. The College/Unit Graduate Committee concerned shall recommend the Program Adviser/Committee members to its respective head.

The Program Adviser/Committee shall advise, monitor, and evaluate the student until s/he advances to candidacy and is assigned a Dissertation Adviser/ Committee.

Program of Study

Within the first semester of the student's initial year in the doctoral program, a Program of Study shall be designed by the Program Adviser/Committee, in consultation with the student on the basis of the latter's academic preparation and desired specialization. A copy of this Program of Study shall be submitted to the appropriate Graduate Office/Committee, through channels. Subsequent revisions in the Program of Study must be authorized by the Program Adviser/Committee and communicated as soon as possible to the Graduate Office/Committee, through channels.

Study Load Per Semester and Trimester

The normal study load of a full-time student shall be nine (9) to twelve (12) units of formal graduate courses per semester, or eight (8) to ten (10) units per trimester.

Transfer of Credit

Transfer of Credit from Another University

Subject to the recommendation of the appropriate bodies and the approval of the Dean/Director, graduate courses taken by a student in another university may be credited towards his/her doctoral program provided that:

- 1) these courses were taken within the last five (5) years prior to admission;
- 2) these were validated through appropriate means by the College/Unit Committee or Graduate Office/ Committee concerned; and
- 3) the total number of credits transferred shall not exceed three-eighths (3/8) of the total number of units in the student's doctoral course requirements.

However, condition 2) shall not apply if the courses were taken in an institution with which the University of the Philippines has a special academic arrangement and if these courses are part of the student's approved Program of Study.

Transfer of Credit from Another Program

Subject to the recommendation of the appropriate bodies and the approval by the Dean/Director, graduate courses taken by the student under another program of the University of the Philippines may be transferred for credit to his/her new doctoral program provided that:

- 1) these courses were taken during the last five (5) years prior to the student's admission or transfer to the doctoral program;
- 2) these units have not been credited to a degree previously obtained by the student; and
- 3) these courses are relevant to his/her new program.

Processing of Transfer of Credit

Transfer of credit shall be done within the first semester of the student's admission into the program.

The course(s) credited shall be specified in the student's record by the Graduate Committee/head of the College/unit concerned and the College Graduate Office/Committee. A copy of the approval shall be sent to the University Registrar.

Grade Requirement

Grading System (*Revised UP Code: Art. 369, 27th UPD UC Meeting: 14 December 1991*)

The following numerical grades shall be used in graduate courses:

1.00, 1.25	(Excellent)
1.50, 1.75	(Very Good)
2.00, 2.25	(Good)
2.50, 2.75	(Satisfactory)
3.00	(Pass)
4.00	(Conditional)
Inc	(Incomplete)
5.00	(Fail)

A grade of 3.00 or better is a passing grade. A graduate student earns credit for a course when s/he obtains a grade of 3.00 or better.

Cumulative Weighted Average Grade (CWAG)

The Cumulative Weighted Average Grade (CWAG) shall be based on all courses taken by the student in his/her approved Program of Study, including those taken in compliance with the Residence Rules, if applicable.

To remain in good standing, a student must maintain a CWAG of 1.75 or better in his/her course work at the end of each academic year until the completion of the Program of Study. This CWAG shall be computed by the Program Adviser/Committee and reported by the latter to the Graduate Office, through channels.

Failure to Satisfy the Grade Requirement

A student who fails to satisfy the CWAG of 1.75 at the end of the academic year shall be disqualified from the doctoral program unless the Dean/Director decides, on justifiable ground and upon the recommendation of the student's Program Adviser/Committee, through channels, decides to waive the rule.

Qualifying Examination

Nature of examination

The Qualifying Examination shall be a written and/or an oral examination taken by the student after completion of the core courses in his/her Program of Study. The core courses must be taken within the first three (3) semesters of the student in the program. This Examination shall aim to test the student's mastery of the fundamentals of his/her discipline or area provided by the core courses.

A student who enters the doctoral program with a master's degree in the discipline/area may be exempted from the Qualifying Examination by the Graduate Committee concerned, with the approval of the Dean/Director.

Qualifying Examination Committee

The Qualifying Examination Committee shall consist of doctoral degree holders, except in highly meritorious cases.

Administration

The Qualifying Examination in each doctoral program shall be scheduled and administered by the appropriate Graduate Committee/Office. The Dean/Director, based on the recommendation of the appropriate bodies, shall appoint an Examination Committee which will formulate the questions and evaluate the results of the examination. Results of the Qualifying Examination must be submitted by the Examination Committee to the Graduate Office within two (2) weeks after the last day of the examination.

Rating

A student's performance in the Qualifying Examination shall be rated "High Pass," "Pass," or "Fail."

A student who fails the Qualifying Examination shall be allowed to re-take the examination within one (1) year after the first examination. A second failure or failure to re-take the examination within the prescribed period shall disqualify the student from the doctoral program.

The Candidacy Examination

Nature of Examination

The Candidacy Examination shall aim to test the student's mastery of the discipline/area acquired in the Program of Study [*Some colleges/units refer to this as a Comprehensive Examination*].

The Examination shall be a written and/or oral examination that must be taken by the student after:

- 1) completing the course work in his/her Program of Study;
- 2) satisfying the language requirement, if any;
- 3) obtaining a CWAG of 1.75 or better in his/her course work; and
- 4) completing the courses stipulated by the Residence Rules, if applicable.

A student enrolled in an Interdisciplinary Graduate Program who is also taking the Candidacy must have taken 6-9 units of cognate courses in each area identified in his/her Program of Study.

Candidacy Examination Committee

The Candidacy Examination Committee shall consist of a minimum of three (3) regular full-time faculty members with doctoral degrees, except in meritorious cases. master's degree holders may serve as examiners in doctoral Candidacy Examinations only in highly meritorious cases and upon approval by the Dean/Director.

Professorial Lecturers and Professors Emeriti may serve as examiners, provided they are doctoral degree holders and/or known experts in their field and have taught in the unit during the last two (2) years.

Administration

The Program Adviser/Committee shall recommend to the Dean/Director, through channels, when to administer the Candidacy Examination. The examination shall be administered by the Graduate Office at intervals of at least two (2) days in the officially designated examination room with the approval of the Dean/Director upon the recommendation of the Graduate Committee.

The result must be officially reported by the Examination Committee to the Dean/Director, through channels, not later than two (2) weeks after the examination is administered.

Rating

The grades for the Candidacy Examination are as follows: "High Pass," "Pass," or "Fail." If a student fails the Candidacy Examination, a second examination shall be allowed within one (1) year after the first examination. Failure to pass this second examination shall bar the student permanently from the doctoral program. Moreover, the student shall be disqualified from admission into other doctoral programs within the same Department.

Advancement to Doctoral Candidacy

A student who passes the Candidacy Examination advances to candidacy for the doctoral degree.

Doctoral Dissertation

Standards for the Doctoral Dissertation

The doctoral dissertation shall:

- 1) embody an original, independent, significant, scientific research, or creative work;
- 2) show the student's capacity to make a critical evaluation of previous work done in his/her chosen research topic; and
- 3) demonstrate his/her ability to present research findings in a clear, systematic, and scholarly manner.

Dissertation Committee

Upon advancement to candidacy, the student shall be assigned a Dissertation Committee composed of the Adviser and two (2) Readers. In special cases requiring joint advising, the Dissertation Committee may consist of an Adviser, a Co-Adviser, and a Reader.

The Dissertation Committee shall consist of full-time regular faculty members with doctoral degrees, except in highly meritorious cases. Either the Adviser or the Co-Adviser shall belong to the College/Unit where the student is enrolled. The Co-Adviser and one (1) of the Readers may belong to an external institution (i.e., an academic institution or qualified agency outside the College). A Professorial Lecturer or Professor Emeritus may serve as Co-Adviser. For an Interdisciplinary Graduate Program, majority of the Committee members must come from the University.

The Dissertation Committee members shall be appointed by the Dean/Director, upon recommendation of the heads of the Institute, Department, or Interdisciplinary Program concerned and/or Graduate Office.

Dissertation Adviser and Co-Adviser

The Adviser/Co-Adviser shall be appointed by the Dean/Director, in consultation with the student, soon after the student passes the Candidacy Examination. The Adviser/Co-Adviser is chosen on the basis of the former's expertise in the student's research topic. The adviser must come from the unit where the student is enrolled. In cases of joint advising, the Co-Adviser may come from outside the unit.

The Adviser shall be responsible for:

- 1) advising the student in the preparation of the dissertation proposal;
- 2) guiding and monitoring the student's dissertation research;
- 3) submitting a yearly evaluation report to the appropriate Graduate Office/Committee; and
- 4) indorsing the student's doctoral dissertation for defense.

Dissertation Reader

The functions of the Reader are to:

- 1) evaluate the dissertation for defense and
- 2) indorse the dissertation for oral defense.

Change of Adviser/Reader

If a faculty adviser/reader shall go on leave for more than one (1) semester, the Dean/Director shall appoint a new adviser/reader, upon the recommendation of the appropriate bodies. A student who wishes to change an adviser/reader shall write the Dean/Director, through channels, justifying the reason/s for the request.

On the other hand, an adviser may request to be relieved of advising duties for justifiable reasons.

The completion of a thesis or dissertation within a reasonable length of time is the joint responsibility of both student and adviser. Both make a commitment to work together to ensure that the output will be of acceptable merit and scholarship and that it is completed on a date agreed upon. A good working relationship between the two (2) parties is thus crucial to this effort. The following are adopted to help ensure the satisfactory progress and successful completion of this partnership:

- 1) the adviser and advisee, together, shall devise a work plan that shall determine the amount, direction, and pace of work involved for both parties. This may include a timetable (identifying the start and expected date of completion), schedule of consultations, mutually agreed upon deadlines for partial submissions of the work as well as the adviser's schedule for returning the drafts with comments and suggestions for revision;
- 2) while it is best to adhere to this timetable, particularly as deadlines are concerned, the work plan can be renegotiated by both parties in response to such circumstances as may arise in the course of work;
- 3) differences may arise between adviser and advisee. More often, these differences are easily dealt with and resolved to the satisfaction of both parties. However, there may be instances when these differences prove difficult to resolve and adversely affect both the relationship as well as the progress of work. In such an instance, upon the request of the adviser and/or advisee, the head of the graduate program of the department or unit and/or the Department Chair/Institute Director will sit with both parties to discuss the problem and try to effect a resolution;

4) one possible outcome of the mediation may be the decision to end the adviser-advisee relationship;

The adviser may opt to withdraw from the project; the student may opt for a change of adviser; or both may come to a mutual decision regarding the change. An instance in which a change of adviser may be necessary will be when the student opts for another research topic that is outside the current adviser's field of expertise.

5) The Department Chair/Institute Director will then inform the Dean of the situation and its resolution;

In other cases, the Dean may have to sit with the parties involved to discuss the situation and arrive at a satisfactory solution. The student will then write the Dean a formal letter requesting a change of adviser, which is noted by the adviser. As the Dean had previously been informed and/or been involved in the discussion, there is no need to detail the reasons involved in the letter.

6) the Dean then appoints a new adviser, following the usual procedure for appointment of an adviser;

7) the head of unit (Dean, Chair, or Head of Graduate Program) will sit with the previous and new adviser to jointly determine the sharing of honorarium, acknowledgement, and use of the former adviser's contributions. If appropriate, the previous adviser may be appointed co-adviser according to the usual rules on co-advising.

Number of Dissertation Advisees

The number of advisees (inclusive of thesis and dissertation students) shall be left to the discretion of the College Graduate Faculty Council.

Dissertation Proposal

The student shall submit a written dissertation proposal to the Dissertation Adviser/Committee. The proposal shall be defended orally before the Dissertation Committee members. A certified copy of the approved dissertation proposal and a form indorsing the proposal duly signed by the Dissertation Committee shall be submitted by the Dissertation Committee to the Dean/Director, through channels.

Defense of the Doctoral Dissertation

Oral Defense Panel

After the student's completed draft has been evaluated favorably by the Dissertation Committee members, they shall indorse it for oral defense to the Dean, through channels.

The oral defense panel shall consist of at least five (5) members inclusive of the members of the Dissertation Committee (i.e., Adviser, possibly a Co-Adviser, 1 or 2 Readers and, at least, 2 additional members.) A maximum of two (2) members of the dissertation oral defense panel may come from an external institution, i.e., outside the Department/ Institute/College/University.

The doctoral examination panel shall be chaired by one of the dissertation examiners other than the dissertation adviser.

Administration

The doctoral defense must be held in the College/Unit at a time recommended by the panel, endorsed by the appropriate heads and Graduate Committees concerned and authorized by the Dean/Director.

The time and place of the doctoral defense shall be officially announced by the Graduate Office/ Committee concerned at least two (2) weeks before the scheduled oral defense. The schedule of the defense may be changed only upon the recommendation of the doctoral defense panel, through channels, and the formal authorization of the Dean/Director.

The doctoral defense may be held only if:

- 1) the dissertation manuscript has been received by each member of the doctoral examination panel at least two (2) weeks before the scheduled examination;
- 2) all members of the examination panel are present, except for programs that require the inclusion of a foreign co-adviser or foreign external examiner. If the latter is absent, s/he shall be required to send her/ his comments to the Chair of the panel who shall integrate this in the final report. If any other member of the panel is absent, the defense shall be rescheduled.

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

Rating

There shall be three (3) ratings for the defense: "Pass," "Provisional Pass," or "Fail."

"Fail" means substantial revisions are required by at least two (2) of the panel members. 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.

"Provisional Pass" means minor revisions are required. All members of the panel must agree on the recommended revisions, which must be specified in writing and attached to the final report. A second rating sheet shall be signed only after the student incorporates the revisions and the defense panel certifies that the revisions were made.

The result of the oral defense must be reported by the panel to the Dean/Director through channels, within the first working day after the examination.

Passing or Failing the Doctoral Defense

If the student passes the defense, his/her doctoral dissertation is considered approved.

If the student fails the defense, s/he may submit herself/himself to a second doctoral defense within one (1) academic year after the first defense. Failure to pass the second defense disqualifies the student from her/his current doctoral program. Moreover, a rating of "Fail" in the second defense shall disqualify the student from being admitted into other doctoral programs offered by the same Department or Institute.

Residence Rules (Revised UP Code: 408; amended at 1082nd BOR Meeting: 16 December 1994)

One-Year Residence before Graduation

The student must be officially enrolled at least one (1) academic year prior to the conferment of the doctoral degree.

Regular Period For Completion

The time limit for the completion of all doctoral requirements shall be six (6) years for a student who enters the doctoral program with a master's degree or its equivalent in the same discipline, and eight (8) years for one who enters the doctoral program with a bachelor's degree or a master's degree in an unrelated discipline.

The counting of the period of residence shall start from the student's first enrollment in a graduate course after admission into the doctoral program and shall include all leaves of absence from the program.

The regular period for completion of all course requirements for a graduate student transferring from another University shall be reduced by one (1) semester.

If there are courses taken by the student prior to his/her admission to the program and credited to his/ her course requirements, then the allowed period of completion will be reduced by a number of semesters equivalent to one (1) semester for every nine (9) units of courses credited to his/her program.

Extension of Residence

In exceptionally meritorious cases, extensions of residence beyond the above regular period of completion may be approved by the Dean/Director upon the recommendation of the appropriate bodies.

Each extension shall be for a period not exceeding one (1) calendar year at a time. In no case shall the total number of extensions exceed five (5) years. The student granted an extension shall take additional units of graduate courses in his/her discipline or area during the extension period at a rate of three (3) units for every two (2) years of extension or a fraction thereof.

Non-Compliance with Residence Rules

Any student who fails to complete all requirements of the degree within the regular period and any approved extension thereof shall be disqualified from the doctoral program.

Leave of Absence (LOA) and Absent Without Leave (AWOL)

A student returning from a leave of absence or from being absent without leave (AWOL) shall declare his/her intention to enroll by writing to the University Registrar through channels (*Annex 4: LOA flow chart*).

Application for Graduation

After the student passes the doctoral defense, s/he shall be qualified to apply for graduation to the University Registrar through the College/Unit Graduate Office.

Submission of Bound Copies

The applicant for graduation must submit to the College/Unit Graduate Office five (5) bound copies of the approved doctoral dissertation as a prerequisite for graduation. The bound copies must conform to the standard format of the College/Unit and contain the official approval of the dissertation by the members of the defense panel, the College/Unit Graduate Office/Committee and the official acceptance of the dissertation by the Dean/Director.

Conferment of the Doctoral Degree

After the graduation of the student shall have been recommended by the College Faculty Assembly, or appropriate body, indorsed by the University Council, and approved by the Board of Regents, s/he shall be officially conferred the doctoral degree.