



# KLE UNIVERSITY

(Formerly known as KLE Academy of Higher Education & Research, Belgaum)  
[Declared as Deemed-to-be-University u/s 3 of the UGC Act, 1956 vide Government of India Notification No.F.9-19/2000-U.3(A)]

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Annexure-III

**RULES & REGULATIONS GOVERNING THE DEGREE OF  
DOCTOR OF PHILOSOPHY (Ph.D)  
IN HEALTH SCIENCES & INTER-DISCIPLINARY RESEARCH  
FROM THE ACADEMIC YEAR 2011-12 ONWARDS**



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## [I] PREAMBLE

KLE University is determined to encourage quality research in different disciplines of Health Sciences, keeping in view the global requirements of health care, with national needs as the focal point.

The Doctor of Philosophy (Ph.D) Program in Health Sciences and Inter-disciplinary area (where in one of the disciplines shall be Health Sciences) is proposed with an objective of promoting the cause of quality research in thrust or priority areas. The UGC expects from Deemed Universities’ activities related to research, development, extension and consultation all being aimed at attaining academic excellence.

The infrastructure facilities and human resources available at the KLE University Health Institutions and the pockets of research talents identified in other KLES institutions shall be effectively utilized for promoting quality research in health sciences and inter-disciplinary areas. To facilitate interdisciplinary research, a separate **Board of Studies for Inter-disciplinary Studies** has been constituted. The monitoring of the research activity will be done by the Committee comprising of the Dean-Faculty of Medicine, Director of Academic Affairs and Chairman, Board of Studies for Inter-disciplinary Studies.

## [II] DISCIPLINES

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

The candidates shall also be permitted to register for inter-disciplinary health programs.



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## **[A] FACULTY OF MEDICINE**

### **(a) Pre-Clinical**

- (i) Anatomy
- (ii) Physiology
- (iii) Biochemistry

### **(b) Para-Clinical**

- (i) Pharmacology
- (ii) Pathology
- (iii) Microbiology
- (iv) Forensic Medicine
- (v) Community Medicine

### **(c) Clinical**

#### **(1) Medicine and Allied Subjects**

- (i) Medicine
- (ii) Paediatrics
- (iii) Pulmonary Medicine
- (iv) Dermatology
- (v) Psychiatry

#### **(2) Surgery and Allied Subjects**

- (i) Surgery
- (ii) Orthopaedics
- (iii) ENT & Head & Neck (HNS)
- (iv) Ophthalmology

#### **(3) Obstetrics & Gynaecology, Anaesthesiology and Radiology**

- (i) Obstetrics & Gynaecology
- (ii) Anaesthesiology
- (iii) Radiology



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## **(4) Superspecialities:**

- (i) Cardiovascular and Thoracic Surgery
- (ii) Urology
- (iii) Plastic Surgery
- (iv) Cardiology
- (v) Neurology
- (vi) Neurosurgery
- (vii) Paediatric Surgery

## **(d) Other Disciplines of Health Sciences**

- (1) Hospital Administration
- (2) Public Health
- (3) Medical Education

## **[B] FACULTY OF DENTISTRY**

### **(a) Pre-Clinical**

- (i) Dental Anatomy & Oral Histology
- (ii) Dental Material

### **(b) Clinical**

- (i) Prosthodontics
- (ii) Orthodontics
- (iii) Periodontics
- (iv) Oral Surgery
- (v) Pedodontics
- (vi) Oral Diagnosis and Radiology
- (vii) Conservative Dentistry
- (viii) Community Dentistry
- (ix) Oral Pathology and Microbiology



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## **[C] FACULTY OF PHARMACEUTICAL SCIENCES**

**All subjects of Pharmaceutical Sciences.**

## **[D] FACULTY OF AYURVEDA**

**All subjects of Ayurvedic Sciences.**

## **[E] INTER-DISCIPLINARY AREAS (Involving Health sciences)**

### **[III] ELIGIBILITY FOR ADMISSIONS**

#### **i) Ph.D in Health Sciences**

The candidates who have obtained Master's Degree in the concerned subject with 50% marks like M.D., M.S., M.Ch., D.N.B, D.M., M.D.S, M.Pharm., M.D./M.S (Ayurveda) from KLE Institutions or from any other University considered as equivalent by KLE University, are eligible for enrollment/registration for Ph.D. Programs in this University.

#### **ii) Ph.D in Inter-disciplinary area**

The candidates who have obtained Master's Degree in the concerned subject with 50% marks like M.Tech; L.L.M; M.B.A; M.Sc; M.Com; MA, Master's Degree in Library Sciences and Physical Education, from KLE Institutions or from any other University considered as equivalent by the KLE University are eligible for enrollment/registration for Ph.D program. The candidate is required to work on a topic identified under “**Thrust Areas**” by the Academic Council of the University.

**iii) The candidates with the following qualifications are also eligible for enrollment for Ph.D. Programs in this University.**



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## A. MEDICAL

- a) In case of Pre-Clinical and Para-Clinical subjects, non-Medical candidates with M.Sc. in Anatomy / Physiology / Biochemistry / Microbiology / Pharmacology under Medical faculty as recognized by MCI with a minimum of 50% marks are also eligible.
- b) In case of Oncology, candidates who have obtained the following Master’s Degrees from the Universities recognized in India are eligible to register for Ph.D. course in their respective subjects, provided they have obtained a minimum of **50%** marks in the concerned subject:
  1. M.Sc. in Nuclear Physics
  2. M.Sc. in Medical Physics
  3. M.Sc. in Radiation Physics
  4. M.Sc. in Medical Microbiology
  5. M.Sc. in Medical Biotechnology
  6. M.Sc. in Medical/Clinical Biochemistry

Note: These Ph.D. degree holders shall confine to themselves only to provide research inputs and perform investigative procedures. They are not permitted to treat patients.

- B.** Teacher candidates who are in a regular service and are working in Constituent Colleges of the University or Institutions of similar standard, approved by the University for the purpose of research, provided they fulfill the conditions stipulated above at (i), (ii) & (iii) are eligible.
- C.** The candidates with UGC-NET/SLET/CSIR or ICMR Fellowship examination with necessary qualification for the concerned discipline are eligible.
- D.** Persons working in an Industry, Public Sector Organisations, Government Departments, State Institutes, Institutes of repute engaged in research work, provided they are approved by the University for research, provided they fulfill the qualifications stipulated above at (i), (ii) & (iii) are eligible.
- E.** The candidates belonging to categories **B** and **D** above may be allowed to do part-time research in accordance with the procedure laid down by the University.



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## **[IV] PROCEDURE OF ADMISSION**

- a. Admission to Ph.D. program shall be made after inviting applications for Entrance Examination through notification issued by the Registrar once/twice a year.
- b. Applications for Entrance Examination shall be made in the prescribed forms, which shall be available on University website or at the Office of the Directorate of Academic Affairs, KLE University. The duly filled in Application Forms shall be submitted to the Registrar, KLE University on or before the last date prescribed in the Notification.
- c. The applicants shall have to appear for the Ph.D. Entrance Test followed by interviews to be organized by the University.
- d. The candidate has to secure fifty percent marks at the Entrance Examination to be called for interview.
- e. The successful candidates at Entrance Examination for Ph.D program shall have to appear for the interview before the Interview committee constituted by the Vice-Chancellor.
- f. The Interview Committee shall assess the knowledge of candidate in the subject in general and his/her aptitude for research in particular.

The Admission will be made on interse merit with weightage of 60 marks for entrance test and 40 marks for performance in interview. The candidate has to score a minimum of total 50 marks out of 100 to become eligible for admission to Ph.D. program of the University.

- g. The Supervisor for any proposed work by the research scholar shall be selected / allotted as per UGC (Minimum standards and procedure for awards of M.Phil/Ph.D. Degree), regulations 2009 by the dept/ institution/University as indicated hereunder.
  - i) An approved Supervisor who is a faculty member of the KLE Institutions in the subject concerned.

**OR**

An approved Supervisor who is a faculty member of a College/Institution which is identified by KLE University for purpose of research in specific areas.

**OR**



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ii) An External Supervisor recognized by the KLE University in the subject concerned, provided an Internal supervisor is also identified.

**OR**

iii) Two approved Supervisors (one from college of Health Sciences) in case of inter-disciplinary research.

**Note:** In case of Inter-disciplinary research, one of the Supervisors shall be from the subject in which registration is sought and the other from another discipline of research. There shall be no two Joint Supervisors from the same department.

iv) Care-taker Supervisor shall be allotted to a Research Scholar in case the Original Supervisor leaves for abroad or leaves the institution or he/she is not available for any other reason. The tenure of Care-Taker Supervisor shall be upto one (1) year. In case the original supervisor does not turn up within one (1) year, the Care Taker Supervisor shall be the full-time Supervisor.

v) In any case, a candidate cannot work under a Supervisor who is his/her kith and kin (Defined as per University order).

**h)** The candidates who have been intimated about their selection for Ph.D. Program shall have to report to the Principal of the College concerned where the department exists, through the Supervisor concerned and Head of the Department after paying the prescribed fee.

**i)** The admitted candidates have to renew their admissions every year by paying the tuition fee at the office of the KLE University.

## **[V] FEE**

The candidates selected for admission to Ph.D. program have to pay Tuition/other fee as notified by the University from time to time.



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## **[VI] COURSE OF STUDY**

The duration of the Programme shall be for a minimum period of **two / three** years and a maximum of four **five** years from the date of registration for **full time/ part time** scholars respectively.

### **COURSE WORK:**

The candidate shall undertake course work for one semester (450 hrs) as per UGC Regulations covering the topics of Bio-statistics, Health Insurance, Historical Perspectives of the selected topic, Critical Appraisal Of Scientific Article – published in Scientific Journal, Good Laboratory Practice, Good Clinical Practice, Alternative Systems of Medicine, Current Health Problems, National and Global National Health Policy, Population Policy, Health Care Delivery Systems in India, Research Methodology, Defining Research Questions, Study Designs, Clinical Trials, Grant Writing, General Principles of Ethical Considerations involving Human Participants, Process of Informed Consent, Ethical Review Procedures, Ethical Principles related to animal experiments and Library work, Evidence Based Practice, etc.

The candidate shall have minimum of 75% attendance in the course work.

- i) The research programme of the Department shall be monitored from time to time by the Research Committee (RC) duly constituted by the Vice-Chancellor consisting of the following members:
  - a) Director/ Jt. Director KLEU Research Foundation- Chairman
  - b) One Research Supervisor appointed by V-C - Member
  - d) Director/ Deputy Director Academic Affairs -Member Convener
- ii) The candidates registered for the Ph.D. programmes for full time basis shall be available in the Department throughout the programme and the Head of the Department shall maintain their attendance in the Department. The candidates registered on part-time basis should be in regular contact with the concerned Supervisor.
- iii) The candidates registered for the Ph.D. programme (under Regular and Part-time scheme) should give a minimum of two (2) Seminars during the programme as follows:



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- a) I Seminar: The candidate shall give seminar within six months from the date of registration. The theme pertaining to the Seminar shall be on Purpose of Study, Design and Plan of research to be conducted.
- b) II Seminar: It shall be held during the II year or before the submission of the thesis.

Under exceptional circumstances, one more opportunity shall be given for presentation of seminar on the recommendation of concerned RC.

- iv) The candidate should publish at least two research papers in a refereed/cited/indexed journals in the subject of his/her research before submission of the thesis.
- v) The Vice-Chancellor may, on the recommendation of the Supervisor and the Dean, permit a candidate to work elsewhere for more than six (6) months, if it is in the interest of his/her research work. In exceptional cases, his/her stay, outside the University may be extended for a further period of six (6) months with the permission of the Vice-Chancellor
- vi) The Principal on the recommendation of the supervisor, may grant four (4) weeks leave to the candidate during a calendar year.
- vii) A candidate for Ph.D. programme shall submit to the Director Academic Affairs, through the Supervisor and the Head of the Department, half yearly reports of the progress of research work in the given format.
- viii) A candidate registered for Ph.D. working outside the Municipal area of Belgaum shall be required to put in atleast six (6) months attendance in the research laboratory of the Department concerned of the University before submitting the thesis.
- ix) No candidate shall be allowed to submit the thesis in less than two (2) years (full time) and three (3) years (part time) from the date of registration. The Vice-Chancellor may, however, relax this condition by six (6) months in exceptional cases where strong claim is made by the candidate for completion of the research work duly certified by the Supervisor, after obtaining the opinion of the Committee of two external experts constituted by him for this purpose.



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- x) A regular/part time candidate shall submit the thesis within 5 (five) years from the date of registration. Extension of time upto a maximum of one year may be given by the Vice-Chancellor, provided, the Vice-Chancellor is satisfied that there are sufficient reasons for not completing the work within stipulated time. Even after the extension by one year, if the candidate fails to submit the thesis, his/her admission shall be automatically **cancelled**. However, such candidates, can seek re-registration.
- xi) Re-registration of the candidates will be made by a Committee consisting of the following members provided there is no change of the topic or the guide.
  - 1. Vice-Chancellor- Chairman
  - 2. Dean of the Faculty- Member
  - 3. Principal of the College – Member
  - 4. Director of Academic Affairs- Convener
- xii) The re-registration will be effective from the date the candidate completes the stipulated period (five years for full time and six years for part time research scholars). The candidate will be charged **re-registration fee** as notified by the University. The candidate will be exempted from Pre-Ph.D. examination and may submit his/her thesis any time within one (1) year. There will be no further extension or re-registration.
- xiii) If any candidate submits the thesis or cancels his/her registration, a position falls vacant with the Supervisor.

## **[VII] PRE-Ph.D. EXAMINATION**

- i) The candidates admitted to Ph.D. Programme shall have to appear for Pre-Ph.D. examination.
- ii) Pre-Ph.D. examination shall be conducted after six months but within one year from the date of registration. There shall be a minimum of one Pre-Ph.D. examination during every academic year.



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- iii) The Controller of Examinations concerned shall conduct the Pre-Ph.D. examination. The registration of such candidates, who do not pass the Pre-Ph.D. examination in three consecutive attempts from the date of registration, shall be cancelled.
- iv) The Pre-Ph.D. examination for all the Faculties shall consist of examination in two theory papers of three hours duration with 100 marks each, one common paper in the subject and other in specialization. The common paper (Paper I) shall be on the topics covered in the syllabus, as described under Course of Work of 450 hours. The Paper-II shall be on the topics related to the research discipline of the candidate. The syllabi for the papers shall be approved by the Dean and Director of Academic Affairs. The Examiner appointed by Vice-Chancellor shall set the common paper and special paper. Two Examiners appointed by Vice-Chancellor shall evaluate the papers and the average of the two will be taken into consideration.
- v) Minimum pass marks in each paper shall be 50%. If the candidate fails in a paper, he/she has to appear only in that paper.

## **[VIII] CHANGE OF TOPIC OF RESEARCH**

- i) If a candidate seeks a major change of a topic of research under the same Supervisor, the Vice-Chancellor on the recommendation of the Supervisor, the Chairperson of the Board of Studies and the Dean may consider his/her request. Such candidates shall submit their thesis only after two years from the date of change of topic. The maximum time of five years from the date of change of topic shall be permitted for submission of thesis. Such candidates shall have to appear for Pre-Ph.D. examination only for Paper II.
- ii) A minor change of a title (different from change in topic) may be permitted by the Vice-Chancellor on the recommendation of the Dean provided it is approved atleast six months before submission of the thesis. In such cases, the candidate need not have to appear for the Pre-Ph.D. examination if he/she has already passed.



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## **[IX] CHANGE OF SUPERVISOR**

In the normal course, change of Supervisor will not be permitted. However, in extra-ordinary circumstances (to be determined by the Dean of the Faculty with the approval of the Vice-Chancellor), a change of Supervisor may be permitted, provided there is no change in research topic. Where permission for change of Supervisor is thus given, the candidate need not appear for Pre-Ph.D. examination, if the candidate has already passed the Pre-Ph.D. examination.

## **[X] SUBMISSION OF THESIS**

- i) On completion of the Ph.D. programme every candidate shall submit the thesis which shall comply with following conditions.
  - a) It shall be a distinct contribution to the subject and accord evidence of originality and scholarliness shown either by the discovery of new facts or by the exercise of independent critical analysis.
  - b) It shall be satisfactory as regards literary, presentation and shall be worthy of publication whether in full as submitted or in an abridged form.
- ii) A candidate may utilize for his/her thesis, contents or any work which he/she may have already published on the subject, but has not submitted the whole or any substantial part thereof for which a degree has been conferred on him/her of this or any other University.
- iii) The thesis in all subjects shall be written and submitted only in English.
- iv) Every candidate shall apply to the Controller of Examinations on a prescribed form for submission of thesis. It shall be returned duly filled-in and accompanied by four (4) copies of the thesis printed or typewritten along with the following.
  - a) Four (4) copies of an abstract of the thesis (8 to 12 pages)
  - b) A proper receipt showing that the prescribed fee has been paid as notified by the University by a Crossed Demand Draft drawn in favour of the **Registrar, Examinations Account, KLE University** payable at **Belgaum**.



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- c) A certificate from the Director Academic Affairs to the effect that the candidate has given two (2) Seminars.
- d) Reprints of the paper(s) published or letter of acceptance of publication with approved manuscripts, if any, during the research programme. Reprints of the papers should be appended in the thesis.
- e) The half yearly reports submitted will be reviewed by the Review Committee constituted by the Vice-Chancellor. Minimum of 50% of the reports should have atleast **“Satisfactory”** remarks to be eligible for presenting the second seminar.
- f) A ‘No Dues Certificate’ duly certified by the:
  - 1) Accounts Branch of the College concerned
  - 2) Library;
  - 3) Hostels Office;
  - 4) Department concerned;
  - 5) Concerned Hospital
  - 6) University Account Office for payment of tuition fees and other fees.

## **XI] EXAMINATION**

- i) Three Examiners shall evaluate the thesis submitted by the candidate; of which one will be the Supervisor.
- ii) A panel of twelve (12) External Examiners (at least 6 Examiners from outside Karnataka) shall be submitted by the Supervisor through Chairperson Board of studies and Dean of the Faculty, keeping in view the field of specialization. Two Examiners from abroad may be included in the panel. In case of inter-disciplinary research, the panel of External Examiners shall be submitted jointly by the two Supervisors through Chairman of Inter-Disciplinary studies & Dean.
- iii) The Chairperson Board of Studies & concerned Dean may revise the panel of Examiners submitted by the Supervisor and shall recommend a panel of ten (10) Examiners to the University. From this panel, the Vice-Chancellor shall appoint two External Examiners and one Internal Examiner (Supervisor)



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- iv) Each Examiner shall state in clear terms whether the thesis should be:
- a) Accepted or
  - b) Revised and re-submitted for fresh evaluation (Examiner is expected to suggest specific guidelines for revision) or
  - c) Rejected (reasons to be given by the Examiners)
- v) The University shall take a decision on the thesis based on three reports for conducting Defence according to the following norms:

Recommendation of Examiners			Decision for Thesis Defence
1	2	3	
Accept	Accept	Accept	Accept
Accept	Accept	Revise	Accept
Accept	Accept	Reject	Accept
Accept	Revise	Revise	Revise
Accept	Revise	Reject	Revise
Revise	Revise	Revise	Revise
Revise	Revise	Reject	Revise
Accept	Reject	Reject	Reject
Reject	Reject	Reject	Reject

- vi) A) A candidate whose thesis is referred back for revision may be permitted by the Board of Management to resubmit the thesis after revision within a period of two years, but not within six months from the date on which it is referred back. When a thesis is resubmitted, the candidate shall be required to pay half of the prescribed fee.
- B) The revised thesis may be referred to those examiners who have originally recommended revision or to entirely different set of Examiners.
- vii) If the thesis of a candidate is rejected, he/she may be permitted to register himself/herself afresh for the Ph.D. programme and he/she shall be exempted from passing the Pre-Ph.D. examination.



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viii) (a) Examiner(s) appointed from out-side India may send questions to be put to the candidate at the **thesis Defence** and the Vice-Chancellor shall appoint one External Examiner or any other Expert within India from the subject concerned to conduct **thesis Defence** of the candidate.

(b) The **thesis Defence** is **open** and shall be conducted by the Board consisting of the following members:

Dean of the Faculty concerned	... Chairperson
Head of the Department	... Member
Chairperson, BOS concerned	... Member
One External Examiner	... Member
Supervisor	... Member-Convener

The Board members shall sign the report of the **thesis Defence**. (External Member + Supervisor + Dean / Head / Chairperson, BOS constitute the quorum for the Board meeting). In the absence of the Dean, the Chairperson, BOS shall chair the meeting.

If the report of the **thesis Defence** is satisfactory, the Controller of Examinations shall finally declare the candidate qualified for the award of Ph.D. degree with the approval of the Vice-Chancellor, subject to ratification by the Board of Management. If the report of the **thesis Defence** is not satisfactory, the candidate will be given maximum two opportunities to defend himself/herself within one year of the first **thesis Defence** examination, failing which the case shall be referred to the Board of Management for consideration. The decision of the Board of Management shall be final and binding.

- Results shall ordinarily be declared within **six (6)** months from the date of submission of the thesis.
- A copy of every Doctoral thesis along with electronic version for which a degree has been awarded shall be placed in the University Library with the inscription **“Thesis approved for the award of the Degree of Doctor of Philosophy.”** The thesis shall be the joint property of the Student, Supervisor and KLE University for the purpose of Intellectual Property Rights.



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## XII] CANCELLATION OF REGISTRATION

The Vice-Chancellor may cancel the registration of a candidate on the recommendation of the Dean, under the following circumstances:

- i) On the Scholar's own request;
- ii) Where progress has been reported to be continuously unsatisfactory for consecutive four half yearly tenures.
- iii) Where the candidate discontinues his/her research without prior intimation to the Dean of the Faculty, through the Supervisor, Chairperson, Board of Studies and the Head of the Department.
- iv) Where the candidate has taken up employment /admission to any other course of this University or any other University without prior permission.
- v) Where a candidate does not pass Pre-Ph.D. examination within the prescribed number of chances.
- vi) Where the candidate does not submit the thesis within the prescribed period.
- vii) Where the conduct of the candidate is not satisfactory.

## [XIII] GENERAL

The total number of candidates registered for Ph.D. under a Supervisor at any given time shall not exceed **Eight (8)**.

## [XIV] RULES AND REGULATIONS FOR RECOGNITION OF SUPERVISOR (RESEARCH GUIDE)

The Supervisor (Research Guide) shall have one of the following minimum qualifications:

- a) All Professors/Readers/Associate Professors of the Post graduate institutes of Medicine, Dentistry, Pharmacy, Ayurveda and run by the KLE Society or any other institution recognized by the University with Ph.D. degree in relevant subject and a minimum of 5 years of PG teaching experience and at least three research papers in refereed/indexed journals.



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- b) All Professors of Post Graduate institutes of Health Sciences run by KLE Society or any other institution recognized by the University with MD/MS/MCh/DM/MDS/Ayurveda Vachaspathi MD/Ayurveda Vachaspathi MS/M.Sc (Nursing)/MPT with minimum of 10 years of teaching experience after obtaining PG qualification and atleast three research papers in refereed/indexed journals or equivalent work as determined by the Research Recognition Committee.

OR

- c) **For Inter-Disciplinary Research :**

- a. Professors/Readers/Selection Grade Lecturers of the Institutes of Engineering, Law, Management, Library Sciences, Arts, Science and Commerce run by the KLE Society or any other institution recognized by the University with Ph.D degree in relevant subject and at least three research papers in refereed/indexed journals or equivalent work.

OR

- b. A Senior Scientist working in reputed institution/organization with a minimum of Eight years of research/professional experience with Ph.D degree in relevant subject and at least three research papers in refereed/indexed journals or equivalent work.
- c. The Vice-Chancellor may invite highly qualified and experienced persons from within the country and abroad as **External Supervisors** to utilize their expertise for the benefit of the institution. In such cases, one internal expert from the University shall coordinate the research activity of the candidate.

The name of the Supervisor has to be approved by the Board of Post-Graduate Teaching & Research and Academic Council. Automatic claim by virtue of minimum qualifications cannot be made.

The University reserves the right for changes of Rules and Regulations for Ph.D program from time to time. Certain decisions taken by the Vice-Chancellor in the best interest of retaining high quality of research culture in the University shall be final and binding on all.