

KLE UNIVERSITY

RULES & REGULATIONS FOR ADMISSION TO

DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.) IN HEALTH SCIENCES



(With effect from 1st March, 2007)

[I] PREAMBLE

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

[II] DISCIPLINES

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

Candidates shall also be permitted to register for inter-disciplinary research.

[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 diseases
- (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

(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) Pharmaceutical Science: – Pharmaceutics, Pharmaceutical Chemistry, Pharmacognosy, Pharmacology, Hospital Pharmacy, Clinical Pharmacy, Pharmaceutical Biotechnology.
- (2) Nursing
- (3) Ayurveda
- (4) Physiotherapy
- (5) Hospital Administration
- (6) Public Health
- (7) Medical Education
- (8) Inter-disciplinary Health Programmes

[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

[III] ELIGIBILITY FOR ADMISSIONS

The candidates who have obtained Master's Degree in the concerned subject in aggregate from KLE Institutions like M.D., M.S., M.Ch., D.N.B, D.M., M.D.S, M.Pharm., M.Sc.(Nursing), M.P.T., M.D. (Ayurveda) or a PG degree from any other University considered as equivalent by KLE University are eligible for enrollment for Ph.D. Course in this University.

The candidates with the following qualifications are also eligible for enrollment for Ph.D. course in this University.

A. MEDICAL

- a) In case of Clinical subjects only candidates possessing MD, MS, DM, M.Ch or any equivalent PG degree after MBBS recognized by KLE University are eligible.
- b) In case of Pre-Clinical and Para-Clinical subjects, in addition to candidates who have done MD or MS after MBBS degree, non-Medical candidates with M.Sc. in Anatomy / Physiology / Biochemistry / Microbiology / Pharmacology under Medical faculty as recognized by MCI are also eligible.
- c) 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 60% marks in the concerned subject:
 1. M.Sc. in Zoology
 2. M.Sc. in Physics
 3. M.Sc. in Nuclear Physics
 4. M.Sc. in Medical Physics
 5. M.Sc. in Radiation Physics
 6. M.Sc. in Medical Microbiology
 7. M.Sc. in Biotechnology
 8. M.Sc. in Medical/Clinical Biochemistry

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

B. DENTAL

Candidates with MDS degree awarded by a recognized College/University/DCI or a PG Dental degree considered as equivalent by KLE University are eligible for enrollment for Ph.D. course in Faculty of Dentistry of this University.

C. PHARMACY

Candidates with M.Pharm degree awarded by a recognized College/University or a PG degree in Pharmacy considered as equivalent by KLE University are eligible for enrollment for Ph.D. course in Pharmacy under Faculty of Medicine of this University.

D. NURSING

Candidates with M.Sc. Nursing degree awarded by a recognized College/University approved by INC or a PG degree in Nursing considered as equivalent by KLE University are eligible for enrollment for Ph.D. course in Nursing under Faculty of Medicine of this University.

E. AYURVEDA

Candidates with Ayurveda Vachaspathi MD Rog Nidan, Ayurveda Vachaspathi MS Shalya Tantra degree or equivalent PG qualification in Ayurveda awarded by a recognized College/University are eligible for enrollment for Ph.D. course in Ayurveda under Faculty of Medicine of this University.

F. Teacher candidates who are in a regular service and are working in Constituent/Affiliated/Associate/Junior Colleges or Institutions of similar standard, provided they fulfill the conditions stipulated at A-E above.

G. The candidate with UGC-NET/SLET/CSIR or ICMR Fellowship examination with necessary qualification for the concerned discipline.

H. Persons working in an Industry, Public Sector Organisations, Government Departments, State Institutes, Institutes of repute engaged in research work, provided they fulfill the qualifications stipulated at A-E above.

I. Candidates belonging to categories F and G above may be allowed to do part-time research.

[IV] PROCEDURE OF ADMISSION

- A. Admission to Ph.D. program shall be made after inviting applications for registration through notification issued by the Registrar twice a year.
- B. Applications for registration shall be made on the prescribed forms, which shall be available at the Office of the Registrar, KLE University. The duly filled in Application Forms along with Research Proposal shall be submitted to the Registrar, KLE University on or before the last date prescribed in the Notification.
- C. The Dean, Faculty concerned shall inform the date and time of admissions to the eligible candidates to appear before the Admission Committee.
- D. Registration of the candidates shall be made on the recommendation of the Admission Committee consisting of the following:
1. Vice-Chancellor ... Chairperson
 2. Dean of the Faculty ... Member
 3. Registrar Member
 4. Head of the Department concerned ... Member
 5. Chairperson, BOS concerned ...Member-Convener
 6. One External Expert not below the Rank of Professor ... Member
 7. Two Research Supervisors of the Department concerned, nominated by the Vice-Chancellor ... Members

NOTE: In the absence of the Vice-Chancellor, the Dean shall preside over the meeting.

E. The Admission Committee shall assess the knowledge of candidate in the subject in general and his/her aptitude for research in particular.

F. Every candidate shall chose a Supervisor or Supervisors as indicated hereunder. Without the Supervisor's consent, no application shall be considered for admission.

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 recognized as the Research Center by KLE University.

OR

ii) An external Supervisor recognized by the KLE University in the subject concerned.

OR

iii) Two approved Supervisors 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. The tenure of Care-Taker Supervisor shall be upto one (1) year. In case the original supervisor does not turn up within 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 a kith and kin (Defined as per University order).
- G) 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.
- H) The admitted candidates have to renew their admissions every year by paying the tuition/Non-University fee at the office of the KLE University with recommendations of the Supervisor and the Head of the Department concerned.

[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.

[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.

- i) The research programme of the department shall be monitored from time to time by the Department Research Committee (DRC) duly constituted by the University consisting of the following members:
- a) Head of the Department -- Chairman
 - b) Two Research Supervisors in the -- Members
Department nominated by Vice-Chancellor

c) Chairman, BOS concerned --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:
 - 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 DRC.

- iv) The candidate should publish at least one (1) paper in a reputed/ recognized scientific journal (approved by the Board of Studies) 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.

- vi) The Head of the Department 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 Dean concerned, through the Supervisor and the Head of the Department, half yearly reports of the progress of research work in the given format.
- viii) A teacher 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.
- x) A regular candidate shall submit the thesis within 4 (four) years from the date of registration, while a part-time candidate is required to submit the thesis within five years from 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 would be deemed to be 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. Dean of the Faculty -- Chairperson
2. Head of the Department -- Member
3. Chairperson, Board of Studies -- Convener

xii) The re-registration will be effective from the date the candidate completes 5/6 years. 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) 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.

iii) The Principal concerned shall conduct the Pre-Ph.D. examination uniformly once in a year. The registration of such candidates, who do not pass the Pre-Ph.D.

examination in three 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 papers of three hours duration with 100 marks each, one common paper in the subject and other in specialization. The syllabi for the papers have to be approved by the Board of Studies concerned. The External Examiner shall set the common paper and special paper. Two independent Examiners, Internal and External, shall evaluate the papers. The average of the two awards will be taken into consideration. In case, the awards differ by more than 20%, the paper will be valued by the third external Examiner and the average of the nearest two will be counted.
- 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 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. (clause x of rule VI shall not be applicable to such candidates). They have to appear for Pre-Ph.D. examination for both Paper I and 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 at least 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.

[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, KLE University for Ph.D. Courses** payable at Belgaum.
 - c) A certificate from the Principal to the effect that the candidate has given two (2) Seminars.
 - d) Reprints of the paper(s) published or letter of acceptance of publication, if any, during the research programme.
 - e) 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

XI] EXAMINATION

- i) Three Examiners shall evaluate the thesis submitted by the candidate; of which one will be the Supervisor.
- ii) A panel of ten (10) Examiners (at least 6 Examiners from outside Karnataka) shall be submitted by the Supervisor for approval of the Board of Studies keeping in view the field of

specialization. Two Examiners from abroad may be included in the panel. In case of interdisciplinary research, the panel of Examiners shall be submitted jointly by the two Supervisors for approval of the Board of Studies of the subject.

- iii) The Board of Studies concerned 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 three (3) External Examiners.
- iv) Every 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.
- 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 expert from 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.

XII] CANCELLATION OF REGISTRATION

The Dean of the Faculty concerned may cancel the registration of a candidate on the recommendation of the Chairperson, Board of Studies and the Head of the Department concerned under the following circumstances:

- i) On the Scholar's own request;
- ii) Where progress has been reported to be continuously unsatisfactory for one year.
- 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 number of candidates registered for Ph.D. under a Supervisor shall not exceed **five (5)** at any given time.