



KLE Academy of Higher Education & Research

(Deemed-to-be-University)

[Declared as Deemed-to-be-University u/s 3 & 12B of the UGC Act, 1956 vide
Government of India Notification No. F.9 -19/2000-U.3 (A)]

Accredited 'A + ' Grade by NAAC (3rd Cycle)

Placed in Category 'A' by MoE (Gol)



**RULES & REGULATIONS FOR ADMISSION TO THE
DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)
IN HEALTH SCIENCES & INTER-DISCIPLINARY SCIENCE
2022 ONWARDS**

Edition Year : 2022-23

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Printed at:

Omega Offset

4574, Shetty Galli, Belagavi.

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VISION

To be an outstanding University of excellence ever in pursuit of newer horizons to build self reliant global citizens through assured quality educational programs.

MISSION

- To promote sustainable development of higher education consistent with statutory and regulatory requirements.
- To plan continuously provide necessary infrastructure, learning resources required for quality education and innovations.
- To stimulate and to extend the frontiers of knowledge, through faculty development and continuing education programs.
- To make research a significant activity involving staff, students and society.
- To promote industry / organization, interaction/collaborations with regional/national / international bodies.
- To establish healthy systems for communication among all stakeholders for vision oriented growth.
- To fulfill the national obligation through rural health missions.

OBJECTIVES

The objectives are to realize the following at university and its constituent institutions:

- To implement effectively the programs through creativity and innovation in teaching, learning and evaluation.
- To make existing programs more career oriented through effective system of review and redesign of curriculum.
- To impart spirit of enquiry and scientific temperament among students through research oriented activities.
- To enhance reading and learning capabilities among faculty and students and inculcate sense of life long learning.
- To promulgate process for effective, continuous, objective oriented student performance evaluation.
- To ordinate periodic performance evaluation of the faculty.
- To incorporate themes to build values. Civic responsibilities & sense of national integrity.
- To ensure that the academic, career and personal counseling are in-built into the system of curriculum delivery.
- To strengthen, develop and implement staff and student welfare programs.
- To adopt and implement principles of participation, transparency and accountability in governance of academic and administrative activities.
- To constantly display sensitivity and respond to changing educational, social, and community demands.
- To promote public-private partnership.

I. PREAMBLE:

KLE Academy of Higher Education and Research (KAHER) 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 (wherein 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 University Grants Commission (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 KAHER health science institutions shall be effectively utilized for promoting quality research in health sciences and inter-disciplinary areas. To facilitate interdisciplinary research, a Dean and separate Board of Studies has been constituted. Following are the Rules and Regulations for admission to Ph.D. in health sciences and interdisciplinary areas for KAHER, as per the Newer Regulations of University Grants Commission (Minimum Standards and Procedure for Award of Ph.D. Degree) Regulations, 2022 dated 7th November, 2022.

II. DISCIPLINES:

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

I. FACULTY OF MEDICINE:

A) Pre-Clinical:

- Anatomy
- Physiology
- Biochemistry

B) Para-Clinical:

- Pharmacology
- Pathology
- Microbiology
- Forensic Medicine
- Community Medicine

C) Clinical:

Medicine and Allied Subjects:

- Medicine
- Pediatrics
- Pulmonary Medicine
- Dermatology
- Psychiatry

Surgery and Allied Subjects:

- Surgery
- Orthopedics
- ENT & Head & Neck Surgery (HNS)
- Ophthalmology

Obstetrics & Gynaecology, Anaesthesiology and Radiology:

- Obstetrics & Gynaecology
- Anaesthesiology
- Radiology

D) Super-specialities:

- Cardiovascular and Thoracic Surgery
- Urology
- Plastic Surgery
- Cardiology
- Neurology
- Paediatric Surgery
- Neurosurgery

E) ➤ Public Health

II. FACULTY OF DENTISTRY:

A) Clinical:

- Prosthodontics
- Orthodontics
- Periodontics
- Oral Surgery
- Pedodontics
- Oral Medicine and Radiology
- Conservative Dentistry
- Community Dentistry
- Oral Pathology and Microbiology

III. FACULTY OF PHARMACY:

- (i) Pharmaceutics
- (ii) Pharmaceutical Chemistry
- (iii) Pharmacy Practice
- (iv) Pharmaceutical Quality Assurance

- (v) Pharmacology
- (vi) Pharmacognosy & Phytochemistry

- (vii) Pharmaceutical Analysis

IV. FACULTY OF AYURVEDA:

- (i) Sammitha Siddhanta
- (ii) Dravya Guna
- (iii) Kayachikitsa
- (iv) Rasa Shastra and Bhaishajya Kalpana
- (v) Swastha Vritta
- (vi) Shalya Tantra
- (vii) Shalaky Tantra
- (viii) Panchakarma
- (ix) Agada Tantra
- (x) Basic Principles

V. FACULTY OF NURSING:

- (i) Obstetric and Gynaecological Nursing
- (ii) Child Health Nursing
- (iii) Mental Health Nursing
- (iv) Medical Surgical Nursing

VI. FACULTY OF PHYSIOTHERAPY:

- (i) Cardio Pulmonary
- (ii) Neurology
- (iii) Oncology
- (iv) Obstetrics and Gynecology (OBG)
- (v) Pediatric Physiotherapy
- (vi) Orthopedic
- (vii) Orthopedic Manual Therapy
- (viii) Geriatric

VII. FACULTY OF INTERDISCIPLINARY SCIENCE :

- (i) Biostatistics,
- (ii) Hospital Administration
- (iii) Biomedical Research (Post M.Sc.-Non- Medical,
- (iv) Psychology,
- (v) Health Professional Education

3. ELIGIBILITY FOR ADMISSIONS:

The following are eligible to seek admission to the Ph.D. programme:

1. Ph.D. in Health Sciences:

The candidates who have obtained Master's Degree (M.D., M.S., M.Ch., D.N.B., D.M. (Medical), M.D.S.(Dental), M.Pharm. (Pharmacy), M.D./M.S. (Ayurveda), M.Sc.(Nursing) / MPT (Physiotherapy) 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 in the concerned subject with 55% marks in aggregate or equivalent grade 'B' in the UGC-10 point scale (or an equivalent grade in a point scale system). A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC/differently-abled and other categories of candidates as per the decision of the UGC from time to time.

2. Ph.D. in Inter-disciplinary Science :

The candidates who have obtained Master's Degree (Biostatistics, M.Sc.(Non-Medical), Biomedical Research (Post M.Sc.-Non-Medical), Psychology from KLE Institutions or from any other University considered as equivalent by KLE University, are eligible for enrollment for Ph.D. Programs in this University in the concerned subject with 55% marks in aggregate or equivalent grade 'B' in the UGC-10 point scale (or an equivalent grade in a point scale system). A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC/differently-abled and other categories of candidates as per the decision of the UGC from time to time.

3. The candidates with the following qualifications are also eligible for enrollment to Ph.D. Programs in this University:

A. MEDICAL:

In case of Pre-Clinical and Para-Clinical subjects, candidates with M.Sc. in Anatomy / Physiology / Biochemistry / Microbiology / Pharmacology under medical faculty as recognized by UGC with 55% marks in aggregate or equivalent grade 'B' in the UGC-10 point scale (or an equivalent grade in a point scale system). A relaxation of 5% of marks, from 55% to 50% or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC/differently-abled and other categories of candidates as per the decision of the UGC from time to time.

B. Teacher candidates who are in a regular service and are working in Constituent Colleges of the KAHER and Other Universities for admission to Ph.D. Course are eligible as part-time internal/external research scholars in accordance with the procedure laid down by the University.

i) The department under which the candidate is applying for Ph.D. research should be running PG course recognized by the respective council.

ii) The candidate should propose the name of the co-supervisor from the parent institute in the same department who satisfies the eligibility criteria as laid by the University.

C. The candidates with UGC-NET/SLET/CSIR or ICMR Fellowship examination with necessary qualification for the concerned discipline are eligible as full-time research scholars (as per Rules & Regulations of UGC).

4. CATEGORY OF ADMISSION:

1. Full-Time:

The candidates registered for the Ph.D. programmes on 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. He/she may

also be assigned 4-6 hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations.

2. Part-Time: (Internal/External)

A part-time internal research scholar is the one who is employed as a faculty member in the Constituent Colleges of the KAHER and external research scholar is the one who is employed in other Universities or from other institutions who fulfill the conditions stipulated in the UGC regulations 2022 for admission to Ph.D. Course

- A part-time internal scholar from the Constituent Colleges of the KAHER should work minimum period of **8 hours per week** with the respective guide.
- KAHER shall obtain a “No Objection Certificate” through the candidate for part-time external Ph.D. programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time external basis
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
 - iv. The institute runs the PG course in the department under which the candidate has applied.
 - v. The institute had adequate infrastructure and resource material to support Ph.D. research.

- The candidate should ensure that the head of the organization would request for an inspection from KAHER officials to recognize the department as Ph.D. research center.
- Part time Ph.D. programmes will not be conducted through distance and/or online mode.

5. DURATION OF THE PROGRAMME:

1. Ph.D. Programme shall be for a minimum duration of three (3) / four (4) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme for full-time/Part-time (internal/External) scholars respectively.
2. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/ Ordinance of the university provided, however, that the total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.
3. Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
4. Female Ph.D. Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the Ph.D. programme.

6. PROCEDURE FOR ADMISSION:

- a) Admission to Ph.D. program shall be done after inviting applications for entrance examination through notification issued by the Registrar Once/twice a year on dates notified by the University.

- b) Admission to Ph.D. Programme will be notified well in advance on the university website and through advertisement in two (2) national newspapers of which one will be in the regional language.
- c) Applications for the Ph. D. program shall be made in the prescribed forms, which will be available on the University website. The duly filled application forms should be submitted to the Registrar, KAHER on or before the last date as specified in the notification.
- d) The applicants will have to appear for the Ph.D. Entrance Test followed by interview organized by the University.
- e) The Entrance Test syllabus shall consist of 50% of research methodology and 50% shall be subject-specific.
- f) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- g) A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC / ST / OBC / differently-abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- h) The successful candidates of the entrance examination will have to appear for the interview before the Interview Committee constituted by the Vice-Chancellor.
- i) The Interview Committee shall assess:
 - The candidate's knowledge of the subject in general, and aptitude for research in particular
 - The competence for the proposed research,
 - Whether the research work can be suitably undertaken at the institution/College and the proposed area of research can contribute to new / additional knowledge.

1. The admission will be made on merit with a weightage of 70 marks for entrance test and 30 marks for performance in interview. The candidate has to score a minimum of 50 marks out of 100 to become eligible for admission to Ph.D. program of the University.
2. The candidates who have been intimated about their selection for Ph.D. Program shall have to report to the Principal of the College where the department exists, through the supervisor and Head of the Department after paying the prescribed fees.
3. The admitted candidates have to renew their admissions every year by paying the tuition fees at the Finance Office of the KLE University

7. ALLOCATION OF RESEARCH SUPERVISOR:

The Supervisor for any proposed work by the research scholar shall be selected / allotted as per UGC (Minimum standards and procedure for awards of Ph.D. Degree) Regulations 2022 by University as indicated hereunder.

RULES AND REGULATIONS FOR RECOGNITION OF SUPERVISOR (RESEARCH GUIDE):

1. **The Supervisor (Research Guide) shall have one of the following minimum qualifications:**
 - a) Any regular Professor /Associate Professor/Reader of Post Graduate Institutes of Medicine, Dentistry, Pharmacy, Ayurveda, Nursing and Physiotherapy of KAHER university with Ph.D. degree and at least five (5) research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university
 - b) Assistant Professors with a Ph.D. degree and at least three (3) research publications in peer-reviewed or

refereed journals may be recognized as a Research Supervisor in the KAHER university.

- c) Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors.
 - d) Qualified Scientist/Academic Staff of Govt. Scientific Institutions as laid down under point (6) by UGC Regulations 2022.
 - e) 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.
 - f) In areas/disciplines where there is no Ph.D. Supervisor, or only a limited number of peer-reviewed or refereed journals, the university may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.
 - g) Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.
 - h) Part Time Internal candidates can opt for Co-Supervisors from within the same department or other departments of the same institution or other institutions may be permitted with the approval of the competent authority.
 - i) **No external supervisors are permitted to guide any Ph.D. scholars.** (Unless as stated in point 'e')
2. In case of interdisciplinary/multidisciplinary research work, if required, a Co -Supervisor from outside the Department / School/ Centre / College / University may be appointed.

Note: In case of Inter-disciplinary science, 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 (2) joint supervisors from the same department.

3. The name of the Supervisor has to be approved by the Board of Studies and Academic Council of the university. **Automatic claim by virtue of minimum qualifications cannot be made.**
4. A Research Supervisor who is a Professor, at any given time, cannot guide more than eight (8) scholars, an Associate Professor/Reader as research supervisor can guide six (6) scholars, Assistant Professor can guide (4) scholars and not more than 2 candidates are allotted at one time.
5. 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 return within one (1) year, the Care-taker supervisor shall be the full-time supervisor.
6. In case of relocation of a female Ph.D. scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the KAHER constituent institution to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/ Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
7. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise Ph.D. scholars who are already registered until superannuation and as a co-

supervisor after superannuation, but not after attaining the age of 70 years.

8. ADMISSION OF INTERNATIONAL STUDENTS IN PH.D. PROGRAMME:

- (1) Each supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of Ph.D. scholars as specified above.
- (2) The selection procedure for Ph.D. admission of international students is as per the guidelines/norms in this regard issued by statutory/regulatory bodies of the university concerned from time to time.

9. FEES:

The candidates selected for admission to Ph.D. program during January and July have to pay Tuition/other fees as notified by the University on or before 31st January and 31st July every year respectively upto thesis submission (final soft copy).

Late fees will be applicable to those who fail to pay the fees within the stipulated time.

10. COURSE WORK:

- (i) The credits assigned to the Ph.D. course work shall be a minimum of twelve (12) credits and maximum of fourteen (14) credits.
- (ii) All the candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the university during the initial one year as per UGC Regulations covering the topics mentioned in the syllabus for Ph.D. programme.
- (iii) The candidate shall have minimum of 80% attendance during the course work.

- iv) At the end of the course work, the university will conduct Pre-Ph.D. Examination.
- v) The candidates have to obtain a minimum of 55% of marks in aggregate or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale) if the grading system is followed in the course work in order to be eligible to continue in the programme and submit the thesis. Candidates shall complete course work in accordance with Point 10.0 of the UGC Regulations 2022.
- vi) The candidates registered for the Ph.D. programmes on 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 scholars also be assigned 4 to 6 hours per week of teaching/ research assistantship for conducting tutorial or laboratory work and evaluation.
- vii) A Ph.D. scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

11. RESEARCH ADVISORY COMMITTEE AND DOCTRINE COMMITTEE:

The research programme of the department shall be monitored periodically by the **Research Advisory Committee (RAC)** and Doctrine Committee

- 1) **Research Advisory Committee** –committee at university duly constituted by the Vice-Chancellor consists of following members
 - Director, KLEU Research Foundation – Chairman
 - One Research Supervisor appointed by Vice-Chancellor - Member

- One external member appointed by Vice-Chancellor - Member
- Deputy Director, Basic Science Research Center (BSRC) -Member.
- Director/ Deputy Director, Academic Affairs –Member Convener.

2) **Doctrine Committee:** committee for monitoring and review of the progress of Ph.D. research fellow is constituted at the College level for every scholar comprising of the following members:

- Dean of the Faculty
- Head of the concerned department, Respective Guide
- External member (who is an expert in the topic chosen, nominated by the Guide / HoD).

Functions of the RAC and Doctrine committee

- To review the research proposal and finalize the topic of research.
- To meet periodically, to review the half yearly reports of the research work submitted by the scholars and recommend suitable suggestions /modifications, if any.
- The RAC shall invite once in a year the research scholar, to present the progress of his/her research work for evaluation & further guidance.
- If the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend with specific reasons, the cancellation of registration of the research scholar to the University.

- The names of the experts of Research Advisory Committee (RAC) who remain absent for three (3) consecutive meetings shall be liable to be replaced.

12. I AND II OPEN HOUSE SEMINAR:

- a) **I Open House Seminar:** The candidate shall give seminar within six months from the date of registration. The theme pertaining to the Seminar shall be on Title, Purpose of Study, Design and Plan of research to be conducted.
- b) **II Open House Seminar:** It shall be held after submission of all six half yearly reports (full-time) with a minimum of 3 satisfactory reports and all eight half yearly reports (part-time) with minimum of 4 satisfactory reports and after satisfactory recommendation of research article publications & paper presentations. The presentation will include entire research work of the scholar. If this seminar is unsatisfactory, then under exceptional circumstances, one more opportunity shall be given for presentation of seminar, on the recommendation of Research Advisory Committee.

13. PAPER PUBLICATIONS & PRESENTATIONS:

- a) Prior to the submission of thesis, the candidate should publish in hard copy (print version/Online) atleast two (2) research papers in journals that are indexed in SCOPUS / Pub Med / Web of Science and UGC list of journals.

The candidate must have two (2) paper presentations in conferences/seminars, and produce evidence for the same in the form of reprints and presentation certificates respectively.

- b) An expert committee will review these publications and once they are judged as “satisfactory & recommended”, only then the scholar shall be permitted to present his/her II open house seminar.

- c) 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.

14. SUBMISSION OF HALF YEARLY REPORTS:

The scholars shall submit the half yearly progress reports regularly in two sets in prescribed format on or before 31st January & 31st July every year through the Guide, Head of the institute and Dean of the faculty to the Academic Affairs Office.

The half yearly reports submitted will be reviewed by the RAC and the doctrine committee. Minimum of 50% of the reports should have atleast "satisfactory" remarks to be eligible for presenting the second open house seminar.

First, presentation is synopsis presentation to the scientific committee of the University. After approval, the candidate should apply for respective Ethics committee for Ethical clearance certificate. There after all even numbered sixth monthly reports would be verbally presented with the help of Power-point presentation. Odd numbered reports are to be submitted to office of Academic affairs along with the report from the Doctrine committee.

No candidate shall be allowed to submit the thesis in **less than three (3) years (full-time) and four (4) 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 a Committee of two external experts.

15. PRE-Ph.D. EXAMINATION:

- i) After satisfactory completion of course work, 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 completion of one year from the date of registration. There shall be a minimum of one Pre-Ph.D. examination during every academic year.
- iii) The Controller of Examinations shall conduct the Pre-Ph.D. examination. **The registration of candidates, who do not pass the Pre-Ph.D. examination in five (5) consecutive attempts from the date of registration, shall be cancelled.**
- iv) The Pre-Ph.D. examination for all the faculties shall consist of 3 theory papers.

The first two papers are of 3 hours duration with 100 marks each and the Biostatistics paper is of 2 hours duration with 50 marks.

Paper – I : Syllabus of the Pre-Ph.D. programme

Paper – II : Syllabus related to the research discipline of the candidate

Paper – III : Biostatistics

The syllabus for the Paper II is prepared by the Research Guide, and should be approved by the Dean of the faculty and submitted to the Director, Academic Affairs at the time of research title submission.

The Examiners appointed by Vice-Chancellor shall set the common paper, special paper and Biostatistics paper.

Two Examiners appointed by Vice-Chancellor shall evaluate the papers and the average of the two will be taken into consideration.

A Ph.D. scholar has to obtain a minimum of 55% or its equivalent grade in the UGC 10-points scale (or an equivalent grade/ CGPA in a point scale) in the course work in order to be eligible to continue the programme and submit the thesis, as depicted in the table below:

Letter Grade and Grade Point equivalent to marks in percentage and performance

Marks obtained (%)	Grade Point	Grade	Performance
$\geq 80 \leq 100$	10	O	Outstanding
$\geq 70 < 80$	9	A+	Excellent
$\geq 60 < 70$	8	A	Very good
$\geq 55 < 60$	7	B+	Good
$\geq 50 < 55$	6	B	Above average
$\geq 45 < 50$	5	C	Average
$\geq 40 < 45$	4	P	Pass
< 40	0	F	Fail
	0	AB	Absent

If the candidate fails in a paper, he/she has to re-appear only in that paper.

16. CHANGE OF TOPIC OF RESEARCH:

- i) If a candidate seeks a major change of 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 3 years from the date of change of topic**. The maximum time of 6 years from the date of change of topic shall be permitted for submission of thesis. **Such candidates shall have to re-appear for Pre-Ph.D. examination only in 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 at least 6 months before submission of the thesis. In such cases, the candidate need not have to re-appear for the Pre-Ph.D. Paper II examination, if he/she has already passed it.

17. CHANGE OF SUPERVISOR:

In the normal course, change of Supervisor will not be permitted. However, in extraordinary 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.

18. PLAGIARISM REPORT:

- i. Prior to submission of the thesis, the research scholar should present the second open house seminar on completion of the entire course work and after publication of two (2) research papers and presenting two (2) conference papers. These publications and paper presentations have to be reviewed and recommended as satisfactory by an expert review committee.
- ii. After approval of the second open house seminar and recommendation from the Research Advisory Committee, candidates will be informed to submit the thesis.
- iii. All the Ph.D. Scholars before submitting their Ph.D. thesis to the University should submit the soft copy of the thesis work in a CD for plagiarism check to the Office of the Director, Academic Affairs in the following prescribed format:
 - 1) It should be in a single PDF and not in a chapter-wise format.
 - 2) The contents if $\leq 20\text{MB}$, it should be in a single file and if more than 20MB it should be in two files.
 - 3) It should exclude index, certificates, references, bibliography and publications.

- 4) The CD should be labeled with the name of research scholar, registration number, title of the research work & should be signed by the research scholar and research guide.
- 5) The prescribed fees in the form of Demand Draft should be submitted along with CD of thesis.

This soft copy of the thesis will be subjected to plagiarism check:

- The permitted similarity index is < 10%.
- If the plagiarism is 10%, then the candidate is permitted to submit his/her thesis.
- If the Plagiarism is > 10%, the candidate has to revise the thesis and resubmit the CD as per the rules and regulations.
- Once this re-checking shows plagiarism 10%, the candidate is permitted to submit his/her thesis.
- The plagiarism report has to be included in the final thesis.

The hard bound thesis along with other documents to be submitted to the Director Academic Affairs, in maximum one to two months of time. In case of delay the Competent Authority has the right to reject the submission.

19. SUBMISSION OF THESIS:

- i) On completion of the research work and plagiarism check, 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 or 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 by this or any other University.
- iii) **The thesis in all subjects shall be written and submitted only in English.**
- iv) After receiving the report of plagiarism, candidate shall apply to the Director, Academic Affairs in prescribed form for submission of thesis.
- v) The candidate has to submit the thesis along with the following:
 - a. Five (5) bound copies of thesis
 - b. Five (5) copies of synopsis
 - c. Five (3) CDs of thesis
 - c. Two Sets of Article reprints
 - e. A proper receipt showing that the prescribed fees has been paid as notified by the University
 - f. A certificate from the Director Academic Affairs to the effect that the candidate has successfully presented the second open house seminar.
 - g. Reprints of the papers 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.
 - h. 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.
- vi) The thesis submitted by the scholar will then be forwarded to Exam Section along with a certificate from the Director Academic Affairs stating that the scholar has successfully presented his/her second open house seminar

20. Evaluation:

- i) A panel of twelve (12) External Examiners out of which 6 Examiners should be from outside Karnataka (one examiner from one institution only) and 6 Examiners from within Karnataka shall be submitted by the Supervisor duly signed by Chairperson, Board of Studies and Dean of the Faculty, in the given format, keeping in view the field of specialization. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. In case of Inter-disciplinary research, the panel of External Examiners shall be submitted jointly by the two Supervisors through Chairman of Inter-Disciplinary Board of Studies & Dean.
- ii) From the above panel, the Vice-Chancellor shall appoint three External Examiners. Three External examiners shall evaluate the thesis submitted by the candidate.
- iii) The Guide of the candidate shall normally be the member of the Board of the Examiners, however under extraordinary

Circumstances, the Vice-Chancellor may appoint a care taker guide, in case the guide attains superannuation or leaves the institution.

- iv) Each Examiner shall state in clear terms whether the thesis should be:
 - a) Accepted or
 - b) Revise and re-submit for fresh evaluation (Examiner is expected to suggest specific guidelines for revision and these suggestions may be informed to the guide and to the candidate before defence) 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:
 - 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.
 - b) **When thesis is resubmitted, the candidate shall be required to pay half of the prescribed annual tuition fees.**
 - c) The revised thesis may be referred to those examiners who have originally recommended revision or *to entirely different set of Examiners.*
- vi) 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 within India approved from the Panel of examiners from the subject concerned to conduct thesis defence.

Criteria for acceptance / revision / rejection of thesis

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

After the thesis has been approved by all the examiners, an open viva-voce defence exam will be held on a suitable date.

The thesis defence is open and shall be conducted by the Board consisting of the following members:

Dean of the Faculty concerned	Chairperson
Director of Academic Affairs	Member
Chairperson, BOS concerned	Member
Any one External Examiner (From the panel submitted and approved by Vice-Chancellor)	Member
Research Supervisor	Member
Controller of Examination	Convener

The Board members shall sign the report of the thesis Defence (External Examiner + Supervisor + Dean + 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.

The university (Exam section) concerned shall complete the entire process of evaluating a Ph. D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

- 21. ISSUING A PROVISIONAL CERTIFICATE:** Prior to the actual award of the Ph.D. degree, the degree-awarding university shall issue a provisional certificate to the effect that the Ph.D. is being awarded in accordance with the provisions of these Regulations.
- 22. AWARD OF PH.D. DEGREES PRIOR TO NOTIFICATION OF THESE REGULATIONS:** Award of degrees to candidates registered for the Ph.D. programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016 as the case may be. Further, the award of degrees to candidates already registered and pursuing Ph.D. shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degree) Regulations, 2016.
- 23. DEPOSITORY WITH INFLIBNET:** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), the university shall submit an electronic copy of the Ph.D. thesis

to INFLIBNET, for hosting the same so as to make it accessible to all the Higher Educational Institutions and research institutions.

24. 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) when the progress of the scholar has been reported continuously '*unsatisfactory*' for consecutive 3 half yearly reports (for full-time) and 4 half yearly reports (for part-time),
- iii) when 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) when the candidate has taken up employment/admission to any other course of this University or any other University without prior permission,
- v) when a candidate does not pass Pre-Ph.D. examination in 5 attempts,
- vi) when the candidate does not submit the thesis within the prescribed period, and,
- vii) when the conduct of the candidate is not satisfactory.

The University reserves the right for changes in 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.

**Syllabus for Ph.D.
Research Scholars in Health Sciences and
Inter-Disciplinary Science
(Pre-Ph.D. Examination)
2022 Onwards**

Ph.D. ORIENTATION PROGRAMME

PAPER – I (Research)

Theory: 180 hrs (Credits: 6);

Practicals: 120 hrs (Credits: 2)

- 1. Introduction to Ph. D Programme: Th:10 hrs**
Introduction to the course, course objectives, Open House Discussion, timely submission of Half yearly Reports & Synopsis submission, publication and submission of articles.

National Knowledge Commission, National Assessment and Accreditation Council (NAAC) & University Grant Commission (UGC)
- 2. Historical Perspectives: Th:15 hrs**
Historical narration about conduct of research on human subject, Biblical times, research on vulnerable population, tackling of ethical issues in the past century. Ethical code, Nuremberg code, Helsinki declaration, Belmont principles in conduct of research in human subject.
- 3. Ethical Issues in Research: Th:40 hrs Pr: 6hrs**
Background, general principles on ethical considerations involving human participants, general ethical issues, Ethical Review Committee – need, relevance and working rules & regulations as applicable in India. Ethical Review Procedures, IRB. Principles for clinical evaluation of drugs/ devices/ diagnostics/vaccines/ herbal remedies. Informed Consent Process – Preparing an informed consent for a research project.
- 4. Approach to Research in Health Science: Th: 16 hrs; Pr: 25hrs**
Research protocol development

Research Methodology – Defining research questions/ Hypothesis, Study designs - cross sectional study, case control study and randomized clinical trials.

Clinical Trials – Introduction, composition, procedures & records, Informed consent, responsibility & rules applicable to investigators and sponsors, reporting of adverse events and other related ethical issues.

Good Clinical Practices (GCP) and safety, Good Laboratory Practices (GLP).

5. Grant Writing : Th: 5 hrs; Pr: 8 hrs

Introduction, specific aims, review of literature, measures, methodology, study plan and statistical analysis. Protection of human participants, proposed budget and time line for the proposal. Pre-Clinical Research / Translational Research

Information regarding National /International organization to avail research grants

Patents and Intellectual Property/Rights

6. Manuscript Writing: Th:5 hrs

Writing a scientific manuscript, structured writing and language editing, writing respondents & presentation, impact factor, plagiarism, bibliography, referencing & citations,

7. Critical Appraisal of Article Published in Scientific Journal: Th.-6 hrs; Pr.16 hrs

What is critical appraisal and why critical appraisal, present scenario of scientific publications, methodology of critical appraisal, format for critical appraisal

8. Thesis Writing: Th:5 hrs

Introduction to thesis writing, prescribed format for thesis writing, seminar presentations, preparation for Viva-Voce & communication skills.

9. Health care delivery systems in India: Th:8 hrs

National Population Policy.

National Health Policy.

National Rural Health Mission (NRHM program).

RCH program.

Current Health Problems.

Environment & health related challenges of India.

Non Communicable Diseases

Biomedical waste management

Emerging and re-emerging infectious diseases in the world and in India.

Population explosion causes and its impact.

10. Scientific Conduct Th: 9Hr Pr: 3hrs

Ethics with respect to science and research Intellectual honesty and research integrity

Scientific misconducts: Falsification. Fabrication, and Plagiarism (FFP),Redundant publications: duplicate and overlapping publications, salami slicing, Selective reporting and misrepresentation of data.

Legal aspects of research

11. Publication Ethics Th: 10 Hr Pr: 3hrs

Publication ethics definition, introduction and importance

Best practices/ standards setting initiatives and guidelines: COPE, WAME, etc.

Conflicts of interest, Publication misconduct: definition, concept. problems that lead to unethical behaviour and vice versa, types, Violation of publication ethics, authorship and contributor ship/Identification of publication misconduct, complaints and appeals, Predatory publishers and journals

12. Open Access Publishing Th. 9Hr Pr. 6 Hrs

Open access publications and initiatives, SHERPA/ROMEIO online resource to check policies publisher copyright & self-archiving

Software tool to identify predatory publications developed by SPPU Journal finder /journal suggestion tools viz. JANE, Elsevier Journal Finder, Springer Journal Suggester, etc.

Critical appraisal of published literature

13. Publication Misconduct Th. 6Hr Pr. 6 Hrs

Subject specific ethical issues, FFP, authorship, Conflicts of interest, Complaints and appeals: examples and fraud from India and abroad

Use of plagiarism software like Turnitin, Urkund and other open source software tools

14. Databases And Research Metrics Th. 6Hr Pr. 6 Hrs

Databases : Indexing databases, Citation databases: Web of Science. Scopus, etc.

Impact Factor of journal as per Journal Citation Report. SNIP, SJR, IPP, CiteScore

Metrics: h-index, g index, i10 index, altrmetrics

15. Online Certificate Course on “Health Research Fundamental” by ICMR: Pr: 5 hrs

16. Attending Ph.D. 6-monthly presentations: Th: 30 hrs

17. Visit to Regional Medical Research Centre (RMRC), Belagavi: Pr: 18 hrs

18. Visit to Basic Science Research Centre (BSRC): Pr: 18 hrs

19. Library Hours for Self Study: 50 hrs

Paper II (Syllabus related to Research Discipline)

**Theory: 60 hrs (Credits: 2);
Practicals: 120 hrs (Credits: 2)**

1. Topics related to research discipline: Th: 60 hrs; Pr: 30 hrs

The paper II shall be on the topics related to the research discipline of the candidate and the research supervisors are required to submit the detailed syllabus to the Office of the Academic Affairs within three months of the registration of the candidate.

**2. Attending Discipline-related Workshops/CMEs/Seminars/
Conferences: Pr: 35 hrs**

**3. Attending Ph.D. Open House Seminars: (Atleast 15)
Pr: 25 hrs**

**4. Attending Ph.D. Open Defence Viva: (Atleast 15)
Pr: 30 hrs**

Paper III (Biostatistics)

**Theory: 90 hrs (Credits: 3);
Practicals: 60 hrs (Credits: 1)**

1. Introduction to Bio-statistics, translating research problem into hypothesis, hypothesis testing, Type I & Type II errors in statistics, checking errors in data and correcting them.
2. Sample size calculation for different study designs.
3. Types of variables and types of data measurements scales, Data Collection methods, presentation & organization of data – Tabular / Graphical Form.
4. Sampling Designs, Descriptive Statistics - Measures of central tendency & measures of dispersion, Correlation Analysis, Regression Analysis, Probability Theory - Binominal distribution, Poisson distribution, normal distribution, concept of testing of hypothesis.
5. Test of Significance- Parametric tests-Z test, T test, ANOVA and Non Parametric tests- Chi- Square test, Wilcoxon Rank test, Kruskal Wallis test.
6. Devising conclusion from data analysis.
7. Use of computers, statistical software's, data cleaning.