



KLE Academy of Higher Education & Research
(Deemed-to-be-University)

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Accredited 'A' Grade by NAAC (2nd Cycle)
Placed in Category 'A' by MHRD (Gol)



**RULES & REGULATIONS FOR ADMISSION TO THE
DEGREE OF DOCTOR OF PHILOSOPHY (Ph.D.)
IN HEALTH SCIENCES & INTER-DISCIPLINARY AREA
2016 ONWARDS**



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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 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 (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 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 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.

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
- Paediatrics
- Pulmonary Medicine
- Dermatology
- Psychiatry

Surgery and Allied Subjects:

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

Obstetrics & Gynaecology, Anaesthesiology and Radiology:

- Obstetrics & Gynaecology
- Anaesthesiology
- Radiology

D) Superspecialities:

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

Other Disciplines of Health Sciences:

- Hospital Administration
- Public Health

E) Medical Education

II. FACULTY OF DENTISTRY:

A) Pre-Clinical:

- Dental Anatomy & Oral Histology
- Dental Material

B) Clinical:

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

III. FACULTY OF PHARMACEUTICAL SCIENCES:

All subjects of Pharmaceutical Sciences

IV. FACULTY OF AYURVEDA:

All subjects of Ayurvedic Sciences

V. FACULTY OF NURSING:

All subjects of Nursing Sciences

VI. FACULTY OF PHYSIOTHERAPY:

All subjects of Physiotherapy

VII. FACULTY OF SCIENCE (Inter-disciplinary Studies / Research) (Involving Health Sciences) which also includes:

- Biostatistics, M.Sc., M.Lib., Masters in Physical Education

VIII. BASIC MEDICAL SCIENCES.

III. ELIGIBILITY FOR ADMISSIONS:

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-7 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 Areas:

The candidates who have obtained Master's Degree (M.Sc., M.Lib., Masters in Physical Education, Biostatistics) 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-7 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:

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 55% marks in aggregate or equivalent grade 'B' in the UGC-7 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) 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 55% marks in aggregate or equivalent grade 'B' in the UGC 7 –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:

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. scholars shall confine 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 for a minimum period of 1 year at the time of application for admission to Ph.D. Course are eligible as part-time research scholars in accordance with the procedure laid down 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).

IV. PROCEDURE OF 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, KLE University 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 candidate has to secure 55% marks at the Entrance Examination to be eligible for interview.
- f) The successful candidates at entrance examination shall have to appear for the interview before the Interview Committee constituted by the Vice-Chancellor.
- g) The Interview Committee shall assess whether:
 - the candidate has knowledge of the subject in general, and has aptitude for research in particular,
 - the candidate possesses the competence for the proposed research,
 - the research work can be suitably undertaken at the institution/College, and,
 - the proposed area of research can contribute to new / additional knowledge.



- h) The Admission will be made on merit with a weightage of 60 marks for entrance test and 40 marks for performance in interview. The candidate has to score a minimum of 55 marks out of 100 to become eligible for admission to Ph.D. program of the University.

V) 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 M.Phil/Ph.D. Degree) Regulations 2016 by University as indicated hereunder.

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

- i) 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 with Ph.D. degree (minimum 2 years prior) and at least 2 research publications in refereed journals after completion of Ph.D. may be recognized as Research Supervisor.

OR

- b) All Professors of Post Graduate Institutes of Health Sciences run by KLE University (MD/MS/M.Ch./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 at least 3 research publications in refereed/indexed journals or equivalent work as determined by the Research Recognition Committee.

OR

- c) Qualified Scientist/Academic Staff of Govt. Scientific Institutions as laid down under point (6) by UGC Regulations 2016.
- d) 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.
- ii) The name of the Supervisor has to be approved by the Board of Post-Graduate Teaching & Research and Academic Council of the university. **Automatic claim by virtue of minimum qualifications cannot be made.**
- iii) 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 and not more than 2 candidates are allotted at one time.
- iv) **No external supervisors are permitted to guide any Ph.D. scholars.**
- v) Co-supervisor can be allowed in Inter-Disciplinary areas from other departments of the same institute or from other related institutions with the approval of the Research Advisory Committee.
- vi) 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 (2) joint supervisors from the same department.



- vii) 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.
- viii) A candidate cannot work under a supervisor who is his/her kith and kin (defined as per University order).
- ix) 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.
- x) The admitted candidates have to renew their admissions every year by paying the tuition fees at the Finance Office of the KLE University.

VI. FEES:

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

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

VII. Duration of the programme:

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

VIII. COURSE WORK:

- i) The credits assigned to the Ph.D. course work shall be a minimum of thirteen (13) credits and maximum of sixteen (16) 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 7-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 7.0 of the UGC Regulations 2016.
- vii) 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 should not be performing any other job or assignment during his/her course tenure.
- viii) A part-time research scholar is the one who is employed as a faculty member in the same institution for a minimum period of 1 year at the time of application for admission to Ph.D. Course. A part-time scholar should spend minimum period of **8 hours per week** with the respective guide. The candidate has to submit attendance for this contact period through proper channel along with his/her half yearly report.
- ix) The candidates registered for the Ph.D. programme (under Full-time and Part-time scheme) should give a minimum of two (2) Open House Seminars during the programme.

- x) All the scholars should complete their research work and submit thesis to the university within **six years** from the date of registration.

There will be no provision for further extension of this period.

- xi) The research programme of the department shall be monitored periodically by the **Research Advisory Committee (RAC)** duly constituted by the Vice-Chancellor consisting of the following members:

- a. Director, KLEU Research Foundation – Chairman
- b. One Research Supervisor appointed by Vice-Chancellor - Member
- c. One external member appointed by Vice-Chancellor-Member
- d. Deputy Director, Basic Science Research Center (BSRC)-Member.
- e. Director/ Deputy Director, Academic Affairs -Member Convener.

Functions of the Research Advisory Committee (RAC) are as follows:

- 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 six months 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.

I and II Open House Seminar:

- 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.
- 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.

Paper Publications & Presentations:

- Prior to the submission of thesis the candidate should publish 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.
- xii) 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.
- xiii) The Principal on the recommendation of the supervisor, may grant four (4) weeks leave to the part-time scholars during a calendar year for research related study. The women candidates may be provided Maternity leave/child care leave once in the entire duration of Ph.D. programme for upto 240 days.

xiv) 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.

At the time of submitting their current progress report, the research scholar should submit the summary of each of his/her previous half yearly progress reports in order, and incorporate the suggestions made by the previous reviewers along with university letters sent to the scholars for approval of the current reports.

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

- xv) All the Ph.D. scholars should maintain a Log book, duly signed by the Guide and Head of the department and Institution, and

should be made available at the time of inspection and examination.

- xvi) 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.

IX. 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 7-points scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) 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
91.00 – 100	10	O	Outstanding
81.00 – 90.99	9	A+	Excellent
71.00 – 80.99	8	A	Good
61.00 – 70.99	7	B	Average
55.00 – 60.99	6	P	Pass
Less than 55	00	F	Fail
Absent	00	F	fail

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

X. 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 atleast 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.

XI. 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.

XII. 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.

XIII. 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 (5) CDs of thesis
 - d. A proper receipt showing that the prescribed fees has been paid as notified by the University
 - e. A certificate from the Director Academic Affairs to the effect that the candidate has successfully presented the second open house seminar.
 - f. 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.

- g. '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.

XIV. EXAMINATION:

- i) A panel of twelve (12) External Examiners out of which 6 Examiners should be from outside Karnataka (one examiner from one institution only) 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. 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 Board of Studies & Dean.
- ii) The Chairman/Chairperson Board of Studies & concerned Dean may revise the Panel of Examiners submitted by the Supervisor and shall recommend a panel of twelve (12) Examiners to the University. From this 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) Revised and re-submitted 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.

Results shall ordinarily be declared within six (6) months from the date of submission of the thesis.

The thesis shall be the joint property of the Scholar, Supervisor and KLE University for the purpose of Intellectual Property Rights.

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 inscription **“thesis approved for the award of the Degree of Doctor of Philosophy”**.

After successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the examination section shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET for hosting the same, so as to make it accessible to all Institutions.

Prior to the actual award of the Ph.D. degree, the examination section shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of the UGC Regulations 2016.

XV. 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.