King George's Medical University
Uttar Pradesh, Lucknow – 226003, India

Prof. Vinita Das
Dean, Faculty of Medicine
 # Dean M/KGMU/2019/ 508 , Dated: JUNE 11th , 2019

Order

In reference to approval by Executive Council held on 25/05/2019 of minutes of Academic Council held on 2nd April 2019 vide Any Other Agenda (3) Item No. 1 in view of the report submitted by the committee constituted by the Board of faculty of Medicine on 19th march 2018 to review the modifications in Phd rules & regulations submitted by Faculty Incharge Research Cell is hereby implemented with immediate effect.

ENCL:- Copy of the Guidelines

(Prof. Vinita Das)
Dean, Facutly of Medicine

Copy forwarded to the following with ennexure for imformation and necessary action:-

- All Head of the Departments, Faculty of Medicine, KGMU, UP, Lucknow.
- Registrar, KGMU, UP, Lucknow.
- Finance Officer, KGMU, UP, Lucknow.
- Controller of Examination, KGMU, UP, Lucknow.
- CMS, GM&AH, KGMU, UP, Lucknow.
- MS, GM&AH, KGMU, UP, Lucknow.
- Faculty Incharge, University Website, KGMU, UP, Lucknow.
- Incharge UG/PG Section, Registrar Office, KGMU, UP, Lucknow.
- Incharge Meeting Cell, Registrar Office, KGMU, UP, Lucknow.
- faculty Incharge, Research Cell, KGMU, UP, Lucknow.

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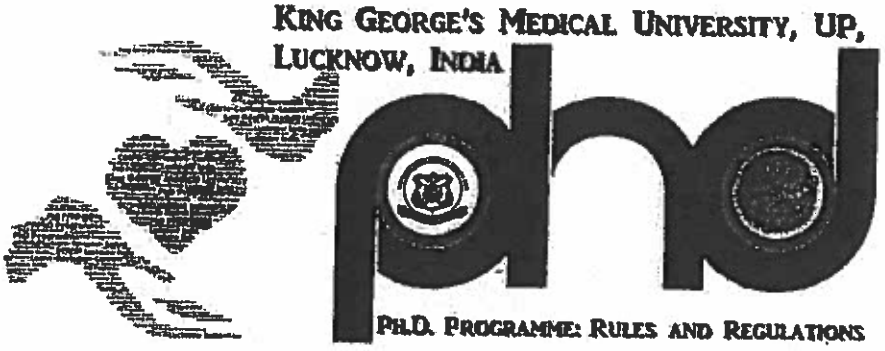

Ph.D. Programme
Rules & Regulations

Revised
(March 2019)

Administrative Office:
Research Cell,
Administrative Block,
King George's Medical University
UP, Lucknow – 226003, India.
(Email: res@kgmcindia.edu)

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Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

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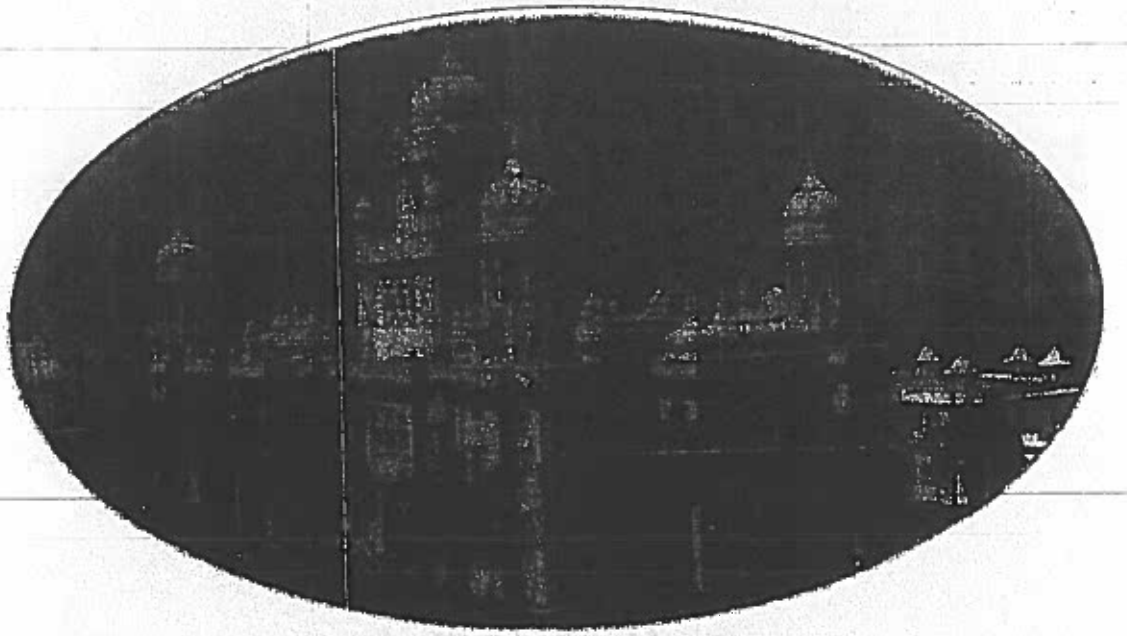
UP, Lucknow, India
Ph.D. Programme – Rules & Regulations



1. History

King George's Medical University, Uttar Pradesh (KGMU) is one of the oldest and most reputed medical institutions in the country. It is the 5th Medical University in the country and the 1st in Uttar Pradesh. The university is committed to excellence in the field of medical education, health care services and research. It serves the role of integrating modern medicine into the resource deficient environment in a developing country like India.

The history of KGMU dates back to 1870 when the Maharaja of Vijaynagaram first floated the idea of starting a medical college in Lucknow. This was recommended in 1905 to the Governor of India and the dream finally took shape with notable efforts & contributions from the Maharajas of Balrampur and Ayodhya, Raja of Jehangirabad, Rana Sheoraj Singh & Nawab Yusuf Ali. Prince of Wales laid the foundation stone on 26th Dec 1906 on the banks of River Gomti. The medical college was formally opened in Oct. 1911 by the then Lt. Governor of United Provinces, Sir John Prescott Hewett. The framework of admissions and the course of study were formulated on the advice of the British General Medical Council and the College became an affiliate of the Allahabad University. The first 226 bedded hospital associated with King George's Medical College came up in 1914 and was called King George's Hospital. KGMC was formally transferred under Lucknow University in 1921. In 1951 the name of King George's Hospital was changed to Gandhi Memorial and Associated Hospitals. Between the periods of 1981 to 1992 the college & hospital were taken over by the state government but the situation again reverted in 1992. In 1979 a Research Cell was established to centralize and facilitate institutional research. The next major milestone in the growth of this

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Institution was its upgradation as a university, through an act passed by the Govt. of UP on September 16, 2002.

2. Preamble

In year 2004 Ph.D. programme was initiated at King George's Medical University, U.P. (KGMU) in bio-medical sciences to promote state-of-art research and to mentor scholars in their area of specialization as a super-speciality program. In addition, these candidates are trained in areas like research methodology, bio-statistics and usage of SPSS software. This ensures general proficiency as researcher in biomedical sciences and increases the likelihood of their pursuing a successful career in research. Successful candidates are awarded **"DOCTOR OF PHILOSOPHY"** from **King George's Medical University, UP**. While this degree is not being awarded in any specific subject, the award certificate mentions the title of the thesis along with the month and year of the award of degree. The university ensures that outputs of Ph.D. programme are original works of excellence leading to discovery of new facts in science or evolution of fresh approach towards interpretation of existing facts. This document lists the rules and regulations for the Ph.D. programme at the university. These can be reviewed and modified from time to time in the interest of the programme.

3. Infrastructure

3.1. PhD students can be registered in KGMU as infrastructure along with conducive academic environment exists with the guide and co-guide, who also have expertise in the area of research work proposed for PhD.

3.2. Most of the departments are recognized for undergraduate/ post-graduate training programme by Medical Council of India and is equipped to carry out research work. These departments can register Ph.D. candidates under KGMU. KGMU allows candidates to do Ph.D. in Science/Medical/Dental/Nursing/Humanity related thrust areas.

3.3. KGMU is well equipped with various labs which include specialized Centre for Advanced Research (CFAR). Each lab has modern equipment to train the students in different aspects of biomedical research.

3.4. The university has three central facilities for biomedical research and various functional research laboratories. Core laboratories are equipped with instruments such as thermocycler, gel documentation system, deep freezers, electrophoretic and western blot units, shaker incubator, homogenizer and autoclave, microtome, tissue processing unit, water bath, laminar flow hood, hot air oven, stereo zoom and bright field microscopes, laminar flow hood, incubator, cell sorter, inverted fluorescence microscope with digital imaging for performing sterile cell culture based experiments. The research facility also has an established set-up for performing small animal based experiments for *in-vivo* model development.

3.5. A central library, and computer lab is also available. Proprietary software crucial for the students and scholars are procured.

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Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Section A: For a Candidate (other than KGMU Faculty/staff)

1. Eligibility Criteria for a Candidate:

1.1. Educational Qualification

1.1.1. Non-medical candidate must have graduate and post-graduate degree in subjects related to biomedical sciences/life sciences/science/humanities, with at least 55% marks in aggregate (in PG degree) or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees Regulations, 2016).

1.1.2. Medical/Dental candidates should have MD/MS/MDS degree with at least 55% marks in aggregate in UG.

1.1.3. Nursing candidates should have M.Phil (Nursing) or M.Sc (Nursing) or a Post Graduate degree in nursing recognized by Indian Nursing Council (INC) with 02 years Teaching or Clinical Experience after M.Sc (N), for enroiment for Ph.D. in Nursing (part-time) under Faculty of Nursing KGMU. The candidates should have passed M.Sc Nursing with a minimum of 55% marks. Candidate should be working in Teaching Institution/Hospital/Community Centre.

1.1.4. A relaxation of 5% marks, (from 55% to 50%), or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th Sept., 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures. (As per UGC Minimum Standards and Procedure for Award of M.PHIL./PH.D Degrees Regulations, 2016).

1.1.5. A separate PhD Programme in Genomics and Molecular Medicine will be done as per this KGMU PhD Rules and regulations (as per the recommendations of meeting of the KGMU Board of Faculty of Medicine, held on 22 Feb 2019, for Agenda no. 13 (Page 175-196), Ref No. 12046/Meeting Cell, dated 02 mar 2019, in response to the letter no. CFAR/2019/264; dated 16 Feb 2019).

1.2. Funding Criteria

1.2.1. Candidates should either have fellowship from UGC/CSIR/ ICMR/DST/DBT/similar govt organizations and the fellowship funds should be sanctioned to KGMU.

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

OR

The candidate should be employed in extramurally funded project sanctioned to the Guide or Co-Guide working in KGMU. The project funds should be sanctioned to the KGMU.

1.2.2. Candidates without secure funding may be considered subject to the approval of the selection committee.

2. For the Registration of Guides/Research Supervisor

2.1. Faculty members of KGMU who are full time regular teacher in this University and have teaching experience of at least 05 years as a faculty or working as Professor are eligible to register as a guide for Ph.D.

2.2. It is necessary that the guide be currently involved in active research preferentially with ongoing research project(s) through extramural funding.

2.3. The guide must have a proven research track record, with at least 10 original research publications (not case reports) in PubMed/Scopus/Embase indexed journals.

2.4. For guiding Ph.D. in basic sciences, the guide must have proven experience of the techniques involved.

2.5. At any given point of time, A Professor as Research Supervisor can guide up to a maximum of Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars, and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees Regulations, 2016). However, more than two Ph.D. scholars may not be preferred in a year for any faculty.

2.6. In case the research guide/supervisor who superannuates / resigns or avails long leave, cannot take the responsibility of the ongoing candidate (s) then the KGMU shall make alternate arrangements (preferentially among co-guides) in the interest of the candidate(s) in consultation with Faculty Incharge, Research Cell, KGMU.

2.7. If a faculty member is a co-guide for a candidate registered in another university, his/her candidate can conduct work within the university with the approval of the Hon'ble VC, KGMU.

3. Admission Procedure

3.1. Enumeration of Ph.D. Seats:

3.1.1. The Ph.D. Seats will be enumerated annually as per the vacancy/requirement in the various departments. However, at any given point of time total seats in any department cannot exceed as mentioned above under 2.5 (as per UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees Regulations, 2016). Briefly a Professor as

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Research Supervisor can guide up to a maximum of Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars, and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

3.1.2. Reservation policy as per the Government rules.

3.2. Selection Procedure:

Entrance Test:

3.2.1. Candidates (fulfilling the eligibility criteria as per 1.1.1) and have qualified for UGC/CSIR/ICMR/DST/DBT/CST JRF/SRF fellowships through national level examinations or any other government funding are exempted from the entrance Test.

3.2.2. PhD Entrance Test in English medium shall be conducted by the University through the Office of the Controller of Examination.

3.2.3. Entrance Test will be a written aptitude test in logical thinking, human biology (10+2 level), general awareness, research aptitude and basic computer knowledge (class 10 level). Qualifying marks will be 50% for general, 45% for SC/ST/OBC candidates (as per UGC recommendation). The qualified candidates will be called for the Interview for the final selection.

3.2.4. Candidates qualified, and JRFs (UGC/CSIR/ICMR/DST/DBT JRF fellowship holders) shall submit an application forwarded by the preferred guide to the Head of the department of his/her preferred field within 15 days of declaration of result of Entrance Test.

3.2.5. **University Interview:** All qualified candidates will have to appear for interview/s, before committee chaired by the Dean, Faculty of Medicine with Controller of Examination (CoE) as convener. The constitution of Interview Committee will be as follows:

i. Dean, Faculty of Medicine – Chairperson
ii. Dean of respective Faculty(s)
iii. Vice Chancellor's Nominee
iv. Head of the concerned Departments
v. Faculty Member (Representative of OBC/SC/ST community)
vi. Controller of Examination (CoE) -Convener

3.3. Registration Procedure:

3.3.1. The candidates who have been selected by Interview Committee shall be considered provisionally registered in the Ph.D. programme after verification of documents, approval of the medical board and payment of requisite fee.

3.3.2. Controller of Examination (CoE) will send list of selected candidates to respective Deans for Admission.

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

3.3.3. Provisionally registered candidates will have to report to the concerned department and interact with eligible PhD guides willing to take a PhD candidate for the current year. The student will identify the broad area of PhD work within one month and present before Departmental Committee (chaired by Head of the concerned Department), to be forwarded to the Research Cell.

3.3.4. The Guide will then submit the names of reputed experts in the field of the proposed work for the Doctoral Committee of candidates to the Research Cell. The Doctoral Committee for each PhD scholar will consist of:

a) Guide, KGMU – Convener

b) Co-Guides

c) Head of the concerned Department

d) Internal Expert/s (1) } To be selected by Hon'ble VC from a panel of 5 potential faculty members of University proposed by the Guide

e) External Expert/s (1) } To be selected by Hon'ble VC from a panel of 3 potential experts from outside the University proposed by the Guide

The Doctoral Committee will be valid for entire duration of work of PhD scholar. Any changes in the Doctoral Committee will need prior approval from the Vice Chancellor.

3.3.5. The Guide will then arrange for Doctoral Committee Meeting for presentation of synopsis submitted by the PhD candidate. The Guide will send the approved synopsis along with the recommendations of Doctoral Committee (in the prescribed format only) to the Research Cell for approval of the Dean and Hon'ble Vice Chancellor.

3.3.6. After approval of the Vice Chancellor the student will be considered finally registered in the PhD Program of the University.

3.3.7. In case of any dispute in relation to the above process the decision of the Hon'ble Vice Chancellor shall be final.

4. Duration of the Ph.D. Programme

4.1. The Ph.D. programme will be for a minimum period of three years.

4.2. Candidates who do not submit their thesis within 6 years after registration will be removed from PhD program of the KGMU, unless the Doctoral Committee recommends otherwise. The decision of Hon'ble Vice Chancellor will be final in this regard.

4.3. The period of a candidate's studentship shall be effective w.e.f. the date of deposition of the first instalment of the fees.

4.4. **Foundation Course:**

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

4.4.1. All candidates shall undergo a Foundation Course for one semester, within first year of registration.

4.4.2. The Foundation Course shall be treated as University's **Doctoral Researcher Development Programme (DRDP)** and include courses on research methodology, scientific communication, bio-statistics, computing, and basic sciences including cellular, molecular biology and training in most advanced technology etc. which will be coordinated by Centre for Advance Research (CFAR).

4.4.3. Attendance at elements of the University's Doctoral Researcher Development Programme (DRDP) including workshops is mandatory.

4.4.4. The examination of **Doctoral Researcher Development Programme (DRDP)** will be conducted by the CFAR and pass marks shall be 55%. The marks/grades obtained will be communicated to the KGMU Research Cell. Without passing the foundation course, candidates will not be allowed to submit the thesis.

5. Place of Work

5.1. Most of the PhD work must be performed in the institution of registration. In case additional help is needed from other institution/s, then 1/3rd of work may be allowed to be done outside the parent institution.

5.2. PhD candidate registered in KGMU is not allowed to complete his/her work in a different institution without direct supervision of Guide of the KGMU.

6. Quality Assurance Procedures

6.1. The Doctoral Committee (formed as per point 3.3.3) will review the six monthly progress of the work done by PhD scholar who will make a presentation for adequacy of research work for evaluation and further guidance.

6.1.1. Doctoral Committee will review the patient Consent Forms and the original data of PhD work for its quality.

6.1.2. Doctoral committee will make sure that the research paper from PhD work is published in PubMed/Scopus indexed journals.

6.1.3. It will be the responsibility of Guide to convene the Doctoral Committee meeting and submit the signed report (in the prescribed format only) within 15 days to the Research Cell. The report signed by all members will include recommendations along with clear overall assessment of quality of work with other remarks if any, as following:

i. Excellent

ii. Good

iii. Satisfactory

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

iv. Needs improvement, with suggestions/modifications

v. Not satisfactory, with reasons

6.1.4. The Doctoral Committee can make suggestions for modifications or extension of work if required. Detailed records of progress will be maintained simultaneously both with guide and at Research Cell. Completed PhD work has to be presented before the Doctoral Committee. On approval of the Doctoral Committee, the scholar will be allowed to submit his/her thesis for evaluation.

6.2. The candidate will handover raw data to Guide and Guide must archive the raw data related to PhD research work and patient consent forms for at least 5 years after its submission.

6.3. **Ethical Clearances**

No PhD work will be allowed without prior approval from Institutional Ethics Committee (KGMU). Ethical clearance should be ensured before enrolment of first subject (patient) in the work. All national norms of Bio-medical research and research work on animals need to be followed.

7. Ph.D. Evaluation Procedures

7.1. Before submission of the thesis it is essential for the candidate to have 2 papers either published or accepted for publication in PubMed/Scopus indexed journals with his/her name as the first author and/or corresponding author.

7.2. **Submission of thesis:**

7.2.1. The candidate shall submit four printed copies (on both side of paper) and one soft copy of thesis in English, along with a summary in 500 words, to the Research Cell. Published matter should be incorporated along with thesis. PhD guide and co-guides will give a written certificate stating that the thesis is the original work of candidate conducted under his/her supervision and they are in possession of original raw data and consent forms.

7.2.2. While submitting for evaluation, research scholar shall submit an undertaking and a certificate from the Guide attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma in any Institution. Plagiarism Report generated by the Plagiarism Software should be attached. It is imperative on the part of the guide and doctoral committee to ensure that submitted thesis is plagiarism free, before submission. (As per the UGC-Promotion of academic integrity and prevention of plagiarism in higher educational institutions regulations, 2018)

7.3. **External and Internal Evaluations**

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

7.3.1. Each thesis will have external and internal evaluation. In addition, the candidate will defend the work at oral presentation.

7.3.2. The Guide will submit the names of ten examiners (panel of examiners) for external evaluation of the thesis to the Research Cell, which will be forwarded to Controller of Examination. The thesis will be sent for evaluation to three external experts/examiners (selected by the Hon'ble Vice Chancellor) by the office of Controller of Examination. Thesis guide will be the internal examiner for the PhD work.

7.3.3. The three external examiners have to make clear recommendations whether the thesis can be accepted with or without modifications or rejected. Suggestions for modifications and reasons for rejection have to be submitted in writing.

7.4. Modification and resubmission of thesis:

7.4.1. If the examiners recommend that the candidate be asked to improve the thesis, then the candidate will be required to revise the thesis accordingly and resubmit the revised version, along with point-wise response to all suggestions. She/he shall have to pay a fresh fee at the time of resubmitting the thesis and shall have to produce a certificate from the guide stating that the candidate has worked again for specified period and has improved the thesis submitted by her/him earlier and she/he shall follow the procedure laid down for submission of thesis.

7.4.2. Four copies of the revised PhD thesis will be submitted and re-evaluated by three external examiners. The external examiners will ordinarily be the same who did the initial evaluation. However, if they are not available new external examiners will be selected from the panel of approved examiners.

7.4.3. If two or more examiners reject the thesis, the thesis will be considered rejected.

7.5. Oral Defence

7.5.1. If two or more external examiners accept the thesis, the candidate shall be called upon to appear for a viva voce examination before the Thesis Oral Defence Committee.

7.5.2. Oral examination will be an open house event held within the University campus. It will be open to all faculty and students of KGMU. Other individuals interested in attending this can do so.

7.5.3. The following will be the examiners of Oral Defence.

i. One external examiner (preferably the one who evaluated the thesis; if not available, then any other member from the panel of approved examiners)

ii. Guide of concerned candidate will be the internal examiner.

iii. Co-guide(s) will be invited.

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

7.5.4. If a candidate fails to defend thesis on oral examination, he/she will be allowed one more attempt for defence.

8. Award of the Degree

A candidate will be eligible for the award of Ph.D. degree after the recommendation of the examiners of the Oral Defence is sent to the Controller of Examinations (CoE). The recommendations will be directly placed by the CoE before the Hon'ble Vice Chancellor for approval and the result would be declared thereafter with a copy to the respective Dean and all concerned. A provisional certificate can be given to the candidate after the declaration of the result. Date of award of degree will be the date when result will be notified.

9. Depository with UGC

9.1. Following the successful completion of the evaluation process and conferment of the award of Ph.D., the University shall submit a soft copy of the Ph.D. thesis to the UGC within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Institutions Universities.

9.2. The University shall host soft copy of the Ph.D. thesis on its website for general viewing.

9.3. Only after completion of above, subsequently, University shall issue additional certificate confirming that the Degree has been awarded in accordance with the provision of UGC Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees Regulations, 2016.

10.Hostel Accommodation

Hostel accommodation will be given subject to availability. If hostel accommodation is available it will be given only after the full payment of accommodation fee according to the existing norms.

11.KGMU Ph.D. Calendar

11.1. Applications will be invited by KGMU office of Controller of Examination (CoE) in a prescribed format through an advertisement in local notice boards, KGMU web-site and leading local dailies twice every year.

11.2. The tentative annual calendar of PhD activities is as follows:

i.	Enumeration of Departmental PhD Seats:	January/Jul
ii.	Ph.D. Advertisement:	April/Oct
iii.	Ph.D. Entrance Exam:	May/Nov
iv.	University Interview:	May/Nov
v.	Allocation of Guide:	July/Jan

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

vi. Synopsis Submission: August/Feb

12.Fee Structure (University Account Fund)

12.1. Application Fees: Rs. 2000.00 (CoE)

12.2. Registration Fee for Ph.D. candidate: Rs. 20000.00 (Research Cell)

12.3. Annual Fees*: Rs. 20000.00 (KGMU)

12.4. Examination fee: Rs. 15000.00 (CoE)

Application forms can be obtained from the KGMU / KGMU web-site (www.kgmu.org). All kind of fee are non-refundable.

12.5. If a candidate does not submit the thesis by 31st July of the next calendar year in which PhD Review Committee recommended submission then she/he will have to pay annual renewal of registration fees.

13.Other Rules

(e.g. disciplinary action, cancellation of registration etc.)

13.1. Students shall not seek admission to any other course during the course of study at KGMU. All students shall submit a surety bond, duly signed by the Notary at the time of Admission as per Annexure- 1, 2 (Proforma enclosed), failing which his/her registration/admission will not be accepted.

13.2. Other rules will be applicable to these students as are applicable to post-graduate students of the University.

13.3. The Persons with Disability (more than 40% disability) may be allowed a relaxation of one year for Ph.D. in the maximum duration.

13.4. The registration in Ph.D. programme is liable to be cancelled in case of non-deposition of fees, misconduct, unsatisfactory progress of research work, absence from work without information or if the candidate is found ineligible at a later date.

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Section B: For External Candidates in Permanent Employment

1. The regulations governing PhD program as mentioned in Section A (for the Candidates other than KGMU Faculty/staff), shall apply to this category, in addition to the following:

   1.1. Candidates who are permanent employees of other institutions (other than KGMU) will have to provide a NOC for applying in PhD program of KGMU from the employers.

   1.2. Also such candidates have to provide a certificate, at the time of interview, from the employer stating that in the event of selection to PhD program the candidate will be granted a minimum of 3 years study leave with the full pay and permission to work in KGMU, Lucknow.

2. Admission Procedure

2.1. **Selection Procedure:**

2.1.1. ***Entrance Test:***

2.1.1.1. Yes. Same as mentioned in Section A-1

3. Duration of the Ph.D. Programme

3.1. Regulations will be same as mentioned in Section A-4

4. Ph.D. Evaluation Procedures

4.1. Regulations will be same as mentioned in Section A-7

5. Fee Structure

5.1. Fee structure will be same as mentioned in Section A-12

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Section C: For KGMU Faculty (Teaching Staff)

1. The regulations governing PhD program as mentioned in Section A (for the Candidates other than KGMU Faculty/staff), shall apply to this category, in addition to the following:

2. Eligibility Criteria for a Candidate:

2.1. Faculty/staff of KGMU who have completed at least two years of service at KGMU are eligible for enrolment in the PhD programme at KGMU. The application should be submitted through proper channel.

2.2. The candidate must have a research grant on the topic of research.

2.3. The Guides of faculty candidate should be a Professor of KGMU and must have teaching/research experience of at least 10 years, and have a proven research track record, with at least 10 publications as first or corresponding author in PubMed/Scopus indexed, peer-reviewed journals.

2.4. Also such candidates have to provide a no objection certificate, at the time of interview, from the head of the institution through proper channel stating that in the event of selection to PhD program the candidate will be allowed to do PhD without compromising the assigned work.

2.5. Before submission of the thesis it is essential for the candidate to have 2 papers either published or accepted for publication in PubMed/Scopus indexed journals (impact factor ≥1, one or more than one) with his/her name as the first author.

3. Admission Procedure

3.1. **Selection Procedure:**

3.1.1. ***Entrance Test:***

3.1.1.1. Faculty candidates will be exempted from Entrance Test. The other regulations will be same as mentioned in Section A-1

4. Duration of the Ph.D. Programme

4.1. Regulations will be same as mentioned in Section A-4

5. Ph.D. Evaluation Procedures

5.1. Regulations will be same as mentioned in Section A-7

6. Fee Structure

6.1. Fee structure will be same as mentioned in Section A-12

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Section D: Hon. PhD by Prior Published Work

1. The PhD by published work route is intended primarily for senior research-active academic faculty. This will be purely honorary degree meant to acknowledge the research achievements of faculty members in advanced stage of his/her carrier.

   1.1. Submissions for this award will consist of a coherent body of work which is of the same quality, rigour and volume as required of a standard PhD in that field and which constitutes an original contribution to the knowledge.

   1.2. KGMU welcome applications from KGMU teaching faculty (as mentioned below under E-2). Applications are considered on their merits.

   1.3. The regulations governing PhD program as mentioned in Section C (for KGMU Teaching Faculty), shall apply to this category, in addition to the following:

2. Eligibility Criteria and Application Process:

2.1. Any Faculty, Additional Professor or above, with at least 10 publications (as first author and/or corresponding author) of which 5 publications in last ten years, in peer reviewed PubMed/Scopus indexed journals (out of which at least five publications of impact factor 2 or more) on a single topic, may be allowed to submit the work in form of a thesis for consideration for the award of PhD. Work collectively should point towards a significant new advancement in the field. Thesis, thus produced, should be an incremental advancement of existing knowledge in the field of research work.

2.2. Also such candidates have to provide a no objection certificate, at the time of application, from the head of the institution through proper channel stating that in the event of acceptance to PhD by published work program the candidate will be allowed to submit thesis for PhD by published work without compromising the assigned work.

2.3. The work submitted must, in aggregate, be broadly comparable in quality and quantity to that expected to be embodied in a PhD thesis in the same discipline.

2.4. Any faculty (as per section E 2.1) who considers that his/her research work is suitable for the PhD degree, should submit the application to the concerned Dean, which includes a portfolio of publications (peer-reviewed PubMed/Scopus indexed journal papers), accompanied by a synopsis not exceeding 500 words in length, which contextualizes the selected publications, demonstrates their coherence and outlines the intended contribution to knowledge. The body of work shall include materials produced before the date of submission as mentioned above in 2.1.

2.5. The Dean, Faculty of Medicine will call the meeting of the Faculty Doctoral Committee (FDC) will evaluate the merit of the proposal. The constitution of FDC will be as follows:

   i. Dean, Faculty of Medicine – Chairperson
   ii. Dean of respective Faculty(s)
   iii. Two external subject expert nominated by Hon'ble Vice Chancellor
   iv. Faculty In-charge, Research Cell – Convener

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

2.6. FDC will send its proceedings for the formal approval of the Hon'ble Vice Chancellor.

2.7. If the application is successful, applicant will be notified for further admission formalities.

3. Fee Structure

3.1. Registration Fee: Rs. 30000.00 (KGMU) one time

4. Duration of the Ph.D. by published work

4.1. The faculty shall submit research portfolio (as mentioned in 5.1) within a period of one year.

5. How to write PhD by published work research proposal

5.1. **What should be included in the research proposal**

- Thesis should have a title.
- Synopsis
- Research portfolio should be around 50-100 pages describing
  - Introduction,
  - Coherent Materials and Methods (in relation to published work)
  - Review of literature
  - Discussion
  - Conclusions clearly stating how their work has advanced existing knowledge and perhaps lead to change in policy/practice.
  - Future perspectives
  - Bibliography etc.
  - Enclose a copy of relevant published papers as appendix

7. Ph.D. thesis Evaluation Procedures

7.1. The regulations will be same as mentioned in Section A-7

7.1.1. Oral Defence

7.1.1.1. If two or more external examiners accept the thesis, the candidate shall be called upon to appear for a viva voce examination before the Thesis Oral Defence Committee.

7.1.1.2. Oral examination will be a centralized, open house affair held within the University campus. It will be open to all faculty and students of KGMU. Other individuals interested in attending this can do so with permission from the Research Cell, KGMU.

7.1.1.3. The following will be the examiners of Oral Defence.

i. Dean of the concerned faculty: Chairman & Convener

ii. One external examiner (nominated by Hon'ble VC, preferably the one who evaluated the thesis; if not available, then any other member from the panel of approved examiners)

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

Section E: For KGMU Non-Teaching Staff

1. The regulations governing PhD program as mentioned in Section A (for the Candidates other than KGMU Faculty/staff), shall apply to this category, in addition to the following:

2. Eligibility Criteria for a Candidate:

2.1. Non-teaching staff of KGMU who have completed at least five years of service at KGMU are eligible for enrolment in the PhD programme at KGMU. The application should be submitted through proper channel.

2.2. The candidate/guide/co-guide must have a research grant on the topic of research.

2.3. The Guides of Non teaching staff candidate must have teaching/ research experience of at least 10 years as a Faculty or working as Professor and have a proven research track record, with at least 10 publications as first or corresponding author in PubMed/Scopus indexed, peer-reviewed journals.

2.4. Also such candidates have to provide a no objection certificate, at the time of interview, from the head of the institution, through proper channel (via concerned dean) stating that in the event of selection to PhD program the candidate will be allowed to do PhD without compromising the assigned work.

3. Admission Procedure

3.1. **Selection Procedure:**

3.1.1. ***Entrance Test:***

3.1.1.1. Yes. Same as mentioned in Section A-1

4. Duration of the Ph.D. Programme

4.1. Regulations will be same as mentioned in Section A-4

5. Ph.D. Evaluation Procedures

5.1. Regulations will be same as mentioned in Section A-7

6. Fee Structure

6.1. Fee structure will be same as mentioned in Section A-12

Dean
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Lucknow

Affidavit-1

[To be completed, signed and furnished to the academic section on stamp paper before release of 1st instalment of JRF/ research assistantship]

Before:- The Registrar, King George's Medical University UP, Lucknow

1. I, deponent.....Age..... S.o./D.o. Sri..... .....R/o..... ....have opted for Ph.D. program through KGMU Ph.D. Program Examination-2019 in King George's Medical University UP, Lucknow in the Faculty of..... and as deponent's own choice the deponent has taken admission on..... in the .....Department. At the time of admission the deponent has been specifically informed by the competent authority of this University that the deponent who joins the department in due course will not be allowed midsession resignation.
2. The deponent further submits that in case of midsession resignation the deponent shall have to deposit Rs. 1,00,000/- (One lacs) only as penalty and the deponent will also have to refund his/her all stipend money, which he/she will receive from this University (funded by any source). Only then his original documents, deposited by the deponent at the time of admission shall be returned to him/her by concerned officials.
3. That the deponent shall not leave the Ph.D. Research Programme from the Institute before the assigned work is completed and the Ph.D. Thesis is submitted.
4. That the deponent hereby declares that I am not drawing any Salary/Research Scholarship/Assistantship from any other Institution/source.
5. That the payment of allowances admissible under the said program shall be made subject to the complete adherence to all rules and regulations governing the said program as well as satisfactory performance in the authorized studies.

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow

6. That the deponent shall not change the specified course of studies or supervisor nor register himself/herself for any other course or program without prior approval of the supervisor.
7. That the deponent shall not avail or apply for immigration /citizenship or permanent residence to any country during period of studies/service/employment under study/bond period.
8. That the deponent shall not take interruption or extend the specified period of studies without prior approval of his/her Ph.D. supervisor.
9. That the deponent shall not undertake employment whether paid or otherwise during course of studies.
10. That the deponent shall not visit outside the country of study for academic or other reasons without prior approval of his/her Ph.D. supervisor.
11. That the deponent shall not discontinue/quit the course of studies at his/her own, for which he/she was enrolled at KGMU.
12. That the deponent shall maintain the required standard or qualify the course/degree for which he/she was enrolled at KGMU
13. That the deponent shall comply the instruction(s) given by his/her Ph.D. supervisor regarding leave policy and the KGMU/supervisor reserves the right to deduct stipend, allowance(s) etc. in case of non-compliance of leave policy/instruction(s).
14. That the deponent shall regularly submit the quarterly/biannually/annually progress reports through the supervisor/university to the KGMU Research Cell and a final comprehensive report immediately on completion of the study/training/research.
15. That the deponent shall fully obey the national and local laws of the country for which he/she was enrolled at KGMU and shall strictly follow the rules & regulations of the university under said Ph.D. program.
16. That the deponent authorizes and agrees to proceed for cancelation of his/her VISA by KGMU, in case of any violation of this deed of undertaking.
17. That the deponent shall be liable to action under the law in force in Uttar Pradesh impounding or confiscating passports in case of failure to obey or act according to instruction(s)/order(s) of KGMU.
18. That the deponent shall be liable to cancelation/disqualification of scholarship or debarred from foreign study/training/research of any scholarship scheme of KGMU or refund of expenditure amount with/without penalty or any other disciplinary action as KGMU may consider appropriate if:
    a) Failed to comply with the instruction(s)/order(s) of his/her Ph.D. supervisor/KGMU.
    b) Dual Scholarship.
    c) Any financial loss occurred to his/her Ph.D. supervisor/KGMU due to deponent's act(s).
    d) Misstatement or concealment of facts therein before by the deponent.
    e) Engaged in any political, commercial or any other activity incompatible with program of studies.
    f) Commit misbehaviour the University/ Supervisor.
19. That all the terms and conditions mentioned in this letter shall be deemed as part of this deed of undertaking.

Place:- Lucknow

Date:-

Deponent

Verification

I, the above named deponent do hereby verify that the contents of paragraphs 1-19 of this affidavit are true to my personal knowledge and belief and nothing material has been concealed. So help me God.

Place: - Lucknow

Date:

Deponent

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Faculty of Medicine
K. G. Medical University U.P.
Lucknow

Affidavit-2

[To be completed, signed and furnished to the academic section on stamp paper before release of 1st instalment of JRF/ research assistantship]

Before:- The Registrar, King George's Medical University UP, Lucknow

I, deponent .....Aged.....S/o, D/o Sri.....R/o.....
.....
admitted in.....Course through KGMU Ph.D. Program-2019 in the King George's Medical University UP, Lucknow on .....state on Oath as under:-

1. That the deponent will not take part in any strike/ ragging/undesired activities. In case if I am found to have taken part in such activities, the University administration is liable to take suitable action against me including expulsion.
2. That the Deponent has studied all the Rules and Regulations of the University for the PhD Syllabus and agreed with them.
3. That the deponent will accept the schedule of examination as decided by the University in accordance with the regulation and shall abide by the same.
4. That the deponent will wear the white apron bearing her/his name-plate as prescribed during University duty hours and will follow all the Rules and Regulations of the University.
5. That the deponent will not do anything which is unbecoming for a Ph.D. student which may lower the prestige of King George's Medical University UP, Lucknow or that of the ethics.
6. The decisions of the Vice-Chancellor, King George's Medical University UP, Lucknow will be final in any matter and I will be bound to follow all the decisions.

Place:- Lucknow

Date:-

Deponent

Verification

I, the above named deponent do hereby verify that the Intents of Para 1 to 6 of this affidavit are true to the best of my personal knowledge.

Place: - Lucknow

Date:

Deponent

Dean
Faculty of Medicine
K. G. Medical University, U.P.
Lucknow