



# King George's Medical University

Uttar Pradesh, Lucknow - 226003, India

Prof. Amita Jain,  
Dean-Academics

# Dean-Academics/KGMU/2024/  
Dated:- 20/11/24

## ORDER

Following the approval of the Executive Council on **06th November 2024** (Agenda No. 5) and based on the minutes of the Academic Council meeting held on **24th August 2024** (Agenda No. 2.5), the **revised guidelines for the PhD course-2024** are hereby implemented with **immediate effect**.

A copy of the revised guidelines is attached herewith for reference.

(Prof. Amita Jain)  
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### **Distribution:**

Order Book

#Dean-Academics/KGMU/2024/3145 of dated

Copy to:-

- 1- Registrar, KGMU UP, Lucknow.
- 2- Dean-Research/Nursing/Paramedical/Dental, KGMU UP, Lucknow.
- 3- Controller of Examination, KGMU UP, Lucknow.
- 4- All Heads of the Department, KGMU UP, Lucknow.
- 5- P.S to Hon'ble Vice Chancellor.
- 6- Incharge Meeting Cell, Registrar Office, KGMU UP, Lucknow.

(Prof. Amita Jain)  
Dean-Academics



# **King George's Medical University UP, Lucknow**

## **PhD Programme – Rules & Regulations**

### **1. Preamble**

King George's Medical University, Uttar Pradesh (KGMU) is one of the oldest and most reputed medical Institutions in the country. 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.

In year 2004 PhD. Programme was initiated at King George's Medical University, UP (KGMU) in biomedical sciences to promote state-of-art research and to mentor scholars, as a super- specialty program. These candidates are trained in many additional 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 Lucknow. 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 PhD 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 PhD programme at the University. These can be reviewed and modified from time to time in the Interest of the programme.

### **2. Infrastructure**

- 2.1 Infrastructure along with conducive academic environment exists KGMU. Learned and expert faculty members with experience in research are available at the University to become Chief guide and co-guide(s) for PhD candidates.
- 2.2 Most of the departments are recognized for undergraduate/post-graduate training programme by National Medical Council (NMC)/Dental Medical Council (DMC)/Indian Nursing Council (INC) and are equipped to carry out research work. These departments can register PhD candidates under KGMU. KGMU allows candidates to do PhD in Bio medical Science (Medical/Dental/Nursing/Humanity related thrust areas).
- 2.3 KGMU is well equipped with various labs, including a specialized Centre for Advanced Research (CFAR) and Medical Research Unit (MRU). Each lab has modern equipment to train the students in different aspects of biomedical research.
- 2.4 Laboratories in concerned departments are equipped with contemporary instruments, details of which can be seen in [www.kgmu.org](http://www.kgmu.org). The research facilities exist for performing small animal based experiments towards in-vivo model development.
- 2.5 A central library and computer labs are available in KGMU. A Thesis Center (Central Library) is also available to help students. Departments also maintain their individual library. Proprietary software for statistics, word processing, plagiarism check etc., crucial for students and scholars, are available.

  
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## **PhD Programme – Rules & Regulations**

### **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 candidates: Non-medical candidate must be post graduate in subjects related to biomedical science/life sciences/science/humanities/technology, with at least 60% marks in aggregate (in PG degrees) or its equivalent grade 'A' in the UGC 7- point scale (or an equivalent grade in a point scale wherever grading system is followed).
- 1.1.2 Medical-Dental/Nursing candidates:
- Medical/Dental candidates should have MD/MS/MDS degree with at least 60% marks in aggregate in Under-graduation.
  - Nursing candidates should have M.Phil. (Nursing) or M.Sc (nursing) or a post graduate degree in nursing recognized by Indian nursing council (INC). The candidates should have passed M.Sc nursing with minimum of 60% marks. Candidate should be working in teaching Institution/Hospital/Community Centre.
- 1.1.3 A relaxation of 5% marks, or an equivalent relaxation of grade, will be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled, economically weaker Section (EWS) and other categories of candidates as per the decision of the commission from time to time. The eligibility marks (or an equivalent grade in a point scale wherever the grading system is followed) and the relaxation to the categories mentioned above are permissible based only on the qualifying marks without including grace marks procedure.
- 1.1.4 Candidates who have cleared the M.Phil. course work with at least 60% marks in aggregate or its equivalent grade 'A' in the UGC 10-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign Institution accredited by the UGC or equivalent accreditation body, shall be eligible for admission to the PhD programme.

#### **1.2. Funding Criteria**

- 1.2.1 Candidates should either have a fellowship from UGC/CSIR/ICMR/DST/DBT/similar government organizations. The fellowship funds should be sanctioned to KGMU. The project should also be sanctioned to KGMU.
- Or
- 1.2.2 The candidate should be employed in an extramurally funded project sanctioned to the Chief Guide working in KGMU. The project funds should be sanctioned to KGMU from a Govt. funding agency.
- 1.2.3 Chief Guide shall have extramural Govt. funding to support the research work.

#### **2. Eligibility Criteria for the Chief Guide and Co-Guide**

- 2.1. Any faculty member who is full time regular faculty of KGMU and has at least 15 Original publications in SCOPUS/Web of Science/PUBMED indexed journals with minimum 08 years of teaching/research experience as a faculty member in KGMU, is eligible to be a PhD chief guide.

Any faculty member who is full time regular faculty of KGMU and has at least 5 years of teaching/research experience in KGMU as faculty with at least 10 original publications in SCOPUS/Web of Science/PubMed indexed journals, is eligible to be a PhD co-guide.

Two years of exemption is possible for faculty in Super Specialty departments.

- 2.2. At any given point in time, a Faculty member can guide up to a maximum of Four (4) PhD scholars as Chief Guide. Additionally, any faculty member can guide upto 4 candidates as Co-guide. However, recruiting more than 02 new PhD scholars in a year for any faculty will not be permitted. These 02 PhD scholars may be enrolled either as Chief guide or as co-guide.

Each Research Chief Guide/Co-Guide can guide upto two international students on supernumerary basis, after approval of Dean-Research, Dean-Academics and Hon'ble Vice Chancellor on case to case basis.

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- 2.3. In case the Chief guide superannuates/resigns/avails long leave for more than 06 months, then KGMU shall make alternate arrangements (preferentially among co-guides) and allot a chief guide in the interest of the candidate, in consultation with Dean- Academics, KGMU UP, Lucknow. No faculty will be allowed to remain Chief guide if he/she superannuates/resigns/avails long leave.
- 2.4. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision, as Chief Guide. However, such faculty members can continue to supervise PhD scholars who are already registered under them, until superannuation.
- 2.5. Research supervisors cannot supervise research scholars in other institutions as Chief Guide. They can only act as co-supervisors. If a faculty member is a co-guide for a candidate registered in another University, his/her candidate can conduct work within KGMU with approval of the Hon'ble Vice Chancellor, KGMU, and approval of Institutional Ethics Committee.
- 2.6. Faculty members who are registered in PhD program, cannot register a new PhD candidates under them, as Chief/Co-Guide.
- 2.7. Eminent Faculty/Scientists from other institutions can be taken as co-guide after providing justification.
- 2.8. Chief guide must have extramural Govt. funding to support research work.

### **3. Admission and candidate selection Procedure**

- 3.1. Candidates (fulfilling eligibility criteria as per 1.1 and 1.2.1) who have qualified for UGC/CSIR/ICMR/DST/DBT/CST JRF/SRF fellowships through national level examinations are exempted from the entrance test.
- 3.2. Candidates (fulfilling eligibility criteria as per clause 1) and not qualifying clause 3.1 shall qualify PhD entrance examination conducted by the office of COE.

### **4. Entrance examination procedure**

- 4.1. Only candidates as mentioned in 1.2.2 will be eligible to appear in PhD entrance test.
- 4.2. PhD entrance test in English medium shall be conducted by the University through the office of the Controller of Examination.
- 4.3. Entrance test will happen in **July every year**. Announcement for entrance test will be done on University website in April/May every year.
- 4.4. Entrance test will be a written aptitude test in logical thinking and Human Biology (10+2 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 counselling for the final selection.
- 4.5. Candidates qualified and exempted candidates (UGC/CSIR/ICMR/DST/DBT JRF fellowship holders) shall submit an application forwarded by the Chief guide and the Head of the Department of his/her preferred field within 15 days of declaration of result of entrance test. For administrative working, candidate will be considered the PhD student of the same department to which his/ her Chief guide belongs. Chief Guide can be selected by the candidates from a list of available/eligible chief guide in KGMU for that year.
- 4.6. **Counselling:** All qualified candidates will have to appear for counseling before a board chaired by the Dean- Academics with Controller of Examination (COE) as convener. The constitution of counselling Board will be as follows:
  - i. Dean-Academics – Chairperson
  - ii. Dean of respective faculty(s)
  - iii. Vice Chancellor's nominee
  - iv. Head of the concerned Departments
  - v. Faculty members (Representative of OBC/SC/ST community)
  - vi. Prospective Chief Guide
  - vii. Controller of examinations (COE) – convener
- 4.7. The University shall declare a list of all candidates qualifying after counseling on its website.

  
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### 5. Registration Procedure:

- 5.1. The candidates qualifying after counseling shall pay requisite fee following the verification of documents.
- 5.2. They shall submit Migration certificate in the Office of the Dean (Academics). Following which an enrollment number will be given to each student by the office of the Controller of Examination, KGMU UP, Lucknow.

**Note:** Candidates having an eligibility degree from KGMU, need not submit a Migration certificate.

- 5.3. The chief guide shall then submit to the Office of Dean-Academics names of 5 internal and 5 external reputed Senior experts (preferably professor/senior scientists) in the field of proposed work for the Doctoral Committee (DC) of candidates within 2 months of registration. The Doctoral Committee for each PhD scholar will consist of:

- a. Chief Guide-(KGMU)-Convener- Shall be chosen as per guidelines, only from related field of research.
- b. Co-guides- No. of Co-guides shall be preferably restricted to 3, unless justified
- c. Internal expert/s (1)
- d. External expert (1)

Internal experts shall be senior faculty members, preferably Additional Professor/above, working in related field of research.
External experts shall be Professor/senior scientists working in related field of research.

Internal & External expert will be selected by Hon'ble Vice Chancellor, KGMU from the list provided by Chief Guide.

- e. Nominee of Hon'ble Vice Chancellor:- 01 or 02 nominees of Hon'ble Vice Chancellor will be part of DC. The DC will be valid for the entire duration of work of a PhD scholar. Any changes in the DC will need prior approval from the Vice-Chancellor.
- 5.4. The Chief guide will then arrange for a DC meeting within 3 months of registration for presentation of synopsis submitted by the candidate. The guide will send the approved synopsis along with recommendations of the DC (in the prescribed format only) to the Office of the Dean-Academics for approval of Hon'ble Vice-Chancellor.
  - 5.5. The topic of the PhD work will be registered after approval of Synopsis from Doctoral Committee followed by approval of Honorable Vice Chancellor.
  - 5.6. In case of any dispute, concerning the above, decision of the Hon'ble Vice Chancellor shall be final.

### 6. Duration of the PhD Programme:

- 6.1. The PhD programme will be for a minimum period of three years, including course work, and a maximum duration of Six (6) years from the date of admission to the PhD programme. A maximum of an additional two (2) years can be provided to certain candidate after approval of Vice-Chancellor. The total period for completion of a PhD programme should not exceed Eight (8) years from the date of admission in the PhD programme in any case.
- 6.2. Extension (Not exceeding 8 years) can be provided to female PhD scholars and Persons with Disabilities (having more than 40% disability). Women Candidates may be provided Child care/Maternity Leave as per norms.
- 6.3. For PhD scholars, exposure to other institutions (leave of observer), which contributes significantly to completion of the thesis, may be granted from the second Year onwards for the following:
  - 6.3.1. Research expeditions (less than one month): authorized by Chief Guide and Head of Department (HOD);
  - 6.3.2. Research missions (more than one month): proposed by the Chief Guide & HOD and approved by the DC for working in National/International Research Laboratories or Centers of Excellence; and
  - 6.3.3. Exchange programmes: proposed by the department and approved by the DC for working in Institutions in India or abroad.
- 6.4. Candidates who do not submit their thesis within 06 years of registration will be removed from PhD program unless the Vice-Chancellor recommends otherwise or if the candidate falls under Clause 6.2. The decision of the Hon'ble Vice Chancellor will be final in this regard.
- 6.5. The duration of the PhD shall be effective w.e.f. the date of deposition of the first installment of fees.



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### 7. Foundation Course:

7.1. The Foundation Course shall be treated as a prerequisite for PhD preparation. This will be a four credit unit course (a **minimum of 60 contact class hours in one semester**). A 75% of attendance is mandatory for appearing in examination of foundation course.

#### 1. Subject Allocation for foundation course exam will be:

- Research methodology (30%)
- Biostatistics (20%)
- Life Sciences or biological studies (20%)
- Bioinformatics (10%)
- Logical thinking (10%)
- Basics of artificial Intelligence (10%)

2. The foundation course shall be treated as the University's Doctoral Researcher Development Programme (DRDP) run under Dean-Research. The University shall also recommend UGC/NMC recognized online Courses as part of credit requirement for PhD Programme.

7.2. All candidates shall undergo the DRDP course within first year of registration.

7.3. 75% attendance at the University's DRDP is mandatory.

7.4. Written Examination of the DRDP will be taken, Question Paper of written examination will be prepared by Dean, Research and Development, KGMU, Lucknow in consultation with PhD core monitoring committee. 50% marks will be required for passing DRDP. Exemption of 5% marks can be given to students from ST/SC category.

7.5. All fresh PhD entrants will be required to take additional two credit unit courses (example: teaching methodology and/or scientific report/manuscript and/or any other/s relevant to their topic of PhD), as recommended by the Guide and submit certificates at the time of thesis submission.

### 8. Place of Work

- 8.1. Majority of the PhD work must be performed at KGMU. In case contribution is needed from other institution/s, then not more than 1/3<sup>rd</sup> of work may be allowed to be done outside, supervised by the chief guide/ co-guide from other institution.
- 8.2. In case of relocation of a woman PhD scholar due to marriage or otherwise and on recommendations of the DC, the Chief Guide can request that the research data be allowed to be transferred to the University/College to which the scholar intends to relocate, provided the data is generated by work conceptualized by and funded to the Scholar. The research work must not pertain to any project secured by KGMU/KGMU guide, from any funding agency, in which the Scholar was working as a part of the PhD. The scholar shall, however give due credit to the parent guide and the Institution for the part of research already done if transferred. The Guide will do the same if the research work cannot be transferred.

### 9. Clearance from IEC

No PhD work will be allowed without prior approval from Institutional Ethics Committee (KGMU). Clearances should be ensured before enrolment of the first subject (patient/participant) in the work. All national norms of bio-medical research and research work on animals/stem cells etc. need to be followed.

### 10. Quality Assurance Procedures

10.1. The DC (formed as per point 5.3.) will review progress of the Scholar. The PhD scholars shall make a presentation to the DC every 06 months & submit the report to the office of Dean-Academics PhD Committee will determine the adequacy of work and progress.

10.2. The DC will review patient consent forms and original data of work for its quality, if applicable.

10.3. During the entire duration of research work the DC will meet at least 4 times (i.e. within 3 months of joining, and thereafter after every 6 months).

  
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- 10.4. It will be the responsibility of the Chief Guide to convene the DC meeting and submit the signed report within 15 days, to the office of Dean-Academics. The report signed by all members will include clear recommendation along with overall assessment of the quality of work and with other remarks if any, as follows:
- i. Excellent
  - ii. Good
  - iii. Satisfactory
  - iv. Needs improvements, with suggestions/modifications.
  - v. Not satisfactory, with reasons
- 10.5. The DC can make suggestions for modifications or extension of work (within allowed time), if required. Detailed records of progress will be maintained simultaneously both with the Chief guide and at the office of the Dean-Academics. A copy of such recommendations shall also be provided to the PhD scholar. If the PhD scholar fails to implement suggested corrective measures, the PhD committee may recommend, with specific reasons, the cancellation of the registration of the PhD scholar from the PhD programme.
- 10.6. Completed PhD work has to be presented before the DC. On approval of the DC, the scholar will be allowed to submit his/her thesis for evaluation.
- 10.7. Before submission of the thesis, the candidate needs to have at least 2 papers either published or accepted for publication in PubMed/Scopus indexed journals with his/her name as the first and/or corresponding author.
- 10.8. If the research results in possible generation of intellectual property, the PhD candidate and Chief Guide shall inform the Dean-Academics and Dean, Research & Development and IPR Cell of KGMU of the matter. In this case, the submitted dissertation may be treated discreetly, until the time of Oral defense. The IPR Cell of the University shall conduct the procedure for legal and commercial protection of research results. In this case, the public defense can be omitted in agreement with the PhD candidate at the most for a year starting on the day of the procedure of evaluation of the dissertation. Request for extension of defense must be accompanied by Certificate of submission of I.P.R.
- 10.9. The candidate will handover raw data to the Chief-guide, who must archive the raw data related to PhD research work and patient/participant consent forms for at least 5 years after its submission.

## **11. PhD submission & Evaluation Procedures**

### **11.1. Submission of Thesis**

- 11.1.1. After depositing thesis examination fee, the candidate shall submit one printed copy (on both sides of the paper) and one e-copy of the thesis in English, along with a summary in 500 words, to the Controller of Examination with intimation to Dean-Academics. The published papers should be incorporated along with the thesis. PhD chief guide and co-guides will give a written certificate stating that the thesis is the original work of the candidate conducted under his/her supervision and they have original raw data and consent forms.
- 11.1.2. Documents to be appended with thesis at the submission
1. IEC Clearance
  2. Foundation Course clearance Certificate
  3. Certificate of attendance of 2 credit hour courses as mentioned in 7.5.
  4. 2 Published papers/acceptance
  5. Report of DC to allow submission
  6. Receipt of fee submission
  7. Certificates from Chief guide (undertaking attesting originality, plagiarism & AI free content, non-submission of work for any other course)
  8. Plagiarism and AI free reports from software.
- 11.1.3. While submitting for evaluation, the research scholar shall submit an undertaking and a certificate from the Chief guide attesting to the originality of work, vouching that there is no plagiarism, no AI generated content and that the work has not been submitted for the award of any other degree/diploma in any institution. A plagiarism report generated by specific software should be attached. It is imperative that the Chief guide and Doctoral Committee ensure that the submitted thesis is plagiarism free, with no AI generated content before submission. If found otherwise the candidate may face disqualification, subject to the decision of Hon'ble Vice Chancellor.

  
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### 11.2. External and Internal Evaluations

- 11.2.1. Each thesis will have external and internal evaluations. In addition, the candidate will defend the work at oral presentation.
- 11.2.2. The chief guide will submit the names of ten examiners (panel of examiners) for external evaluation of the thesis to the Office of the Controller of Examination. The suggested examiners shall be professors/Scientists of eminence from related field. The thesis will be sent for evaluation to three external experts/examiners (selected by the Hon'ble Vice Chancellor) by the office of Controller Examination. Thesis chief guide will be the internal examiner.
- 11.2.3. The three external examiners must make clear recommendations on whether the thesis can be accepted with or without modifications or rejected. Suggestions for modification and reasons for rejection must be submitted in writing.

### 11.3. Modification and Resubmission of Thesis:


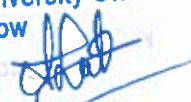
- 11.3.1. If the examiners recommend that the candidate be asked to improve the thesis, then the candidate will be required to revise the thesis accordingly and resubmit the revised version, along with the point-wise response to all suggestions. She/he shall have to pay the Examination fee at the time of resubmitting the thesis and shall have to produce a certificate from the chief guide stating that the candidate has worked again for a specified period and has improved the thesis submitted by her/him earlier and she/he shall follow the procedure laid down for resubmission of the thesis.
- 11.3.2. One printed copy and one e-copy of the revised PhD thesis shall be re-submitted and re-evaluated by three external examiners who will ordinarily be the same ones who did the initial evaluation. However, if they are not available new external examiners will be selected from the panel of approved examiners, by Hon'ble Vice Chancellor.
- 11.3.3. If two or more examiners reject the thesis, the thesis will be considered rejected.

### 11.4. Oral Defence

- 11.4.1. 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.
- 11.4.2. Oral examination will take place in the University campus in the chairmanship of concerned HOD and representation of department faculty, It will be open to all faculty and students of KGMU. Other individuals interested in attending can do so. However no one except examiners are allowed to interview the candidate.
- 11.4.3. The Chief guide must ensure uploading of thesis on "Shodh Ganga" before oral defence.
- 11.4.4. The following will be examiners of Oral Defence.
  - (i) One external examiner (preferably from the ones who evaluated the thesis; if not available, then any other member from the panel of approved examiners), after approval of Hon'ble Vice Chancellor.
  - (ii) Guide of the concerned candidate will be internal examiner.  
Co-guide(s) will be invited, but will not be examiners.
- 11.4.5. If a candidate fails to defend thesis on oral examination, he/she will be allowed one more attempt for Defence within one year.

### 12. Award of the Degree

- 12.1. 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 Examination (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 Dean-Academics and all concerned. A provisional certificate can be given

  
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to the candidate after the declaration of the result. Date of award of degree will be the date when result will be notified.

- 12.2. Award of degrees to candidates registered for the PhD programme before the date of Notification of Ph.D. Programme - Rules & Regulations 2024 King George's Medical University UP, Lucknow, India, shall be governed by the provisions of the Ph.D. Programme - Rules & Regulations 2019 King George's Medical University UP, Lucknow, India, and amendments as the case may be.

### **13. Depository with UGC**

- 13.1. Following the successful completion of the evaluation process and conferment of the award of PhD, the University shall submit a soft copy of PhD thesis to UGC within thirty days for posting on INFLIBNET, accessible to all institutions and universities.
- 13.2. The University shall host a soft copy of the PhD thesis on its website for general viewing.
- 13.3. Only after completion of the above, subsequently, the University shall issue an additional certificate confirming that the degree has been awarded following the provision of UGC minimum standards and procedure for award of PhD degrees regulations, 2022.

### **14. Hostel Accommodation**

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

### **15. KGMU PhD Calendar**

- 15.1. Applications will be invited by the KGMU Office of Controller of Examination (COE) in a prescribed format through local advertisement on University notice boards and KGMU web-site once every year.
- 15.2. The tentative annual calendar of PhD activities is as follows:
- |                         |   |             |
|-------------------------|---|-------------|
| i. Ph.D. advertisement  | : | April/May   |
| ii. Ph.D. entrance exam | : | June/July   |
| iii. Counselling        | : | June/July   |
| iv. Allocation of guide | : | July/August |

### **16. Fee Structure**

16.1. Application fee	:	Rs. 2000.00
16.2. Registration fee for PhD candidate	:	Rs. 20000.00
16.3. Annual fee	:	Rs. 20000.00
16.4. Examination fee	:	Rs. 5000.00 for DRDP exam Rs. 15000.00 for thesis exam.

Application forms can be obtained from the KGMU/KGMU web-site ([www.kemu.org](http://www.kemu.org)). All the above fees are non-refundable.

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

### **17. Other Rules**

(E.g. Disciplinary action, cancellation of registration etc.)

- 17.1. 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.
- 17.2. Other rules will be applicable to these students as are applicable to post-graduate students of the University.
- 17.3. The Registration in the PhD 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.

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### **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) and fulfilling eligibility criteria (as per section A Clause 1) will have to provide a NOC for applying in PhD program of KGMU from the employer.
  - 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 2 years study leave (excluding Foundation Course work) with full pay and permission to work in KGMU, Lucknow.
  - 1.3. The candidate or guide must have extramural funding to support PhD work on the specific topic.

  
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### **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. Assistant Professors of KGMU are encouraged to register for Ph.D. after completion of probation period. The application should be submitted through proper channel.
  - 2.2. All faculty candidates must have acquired extramural funding (government) directly or through Chief guide, related to their topic. Nursing and paramedical faculty are exempted.
  - 2.3. The Chief guides of faculty candidate should be a Professor with eligibility as per point no. 2 of Section A.
  - 2.4. Such candidates have to provide a no objection certificate, at the time of interview, from the Head of the Department stating that in the event of Candidates selection to PhD program, the candidate will be allowed to do PhD. Candidate has to provide an undertaking stating that his/her assigned work will not be compromised.
  - 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 that journals (impact factor  $\geq 1$ ) with his/her name as the first author/corresponding author.
  - 2.6. Faculty who are enrolled for PhD, cannot be a Chief Guide/Co-guide of a PhD scholar. If they are already a Chief Guide/Co-guide of a PhD scholar, they have to relinquish their role as Chief Guide/Co-guide.
3. **Foundation Course:-**
  - 3.1 Faculty of KGMU registered in PhD program will be exempted from Foundation Course (Clause no. 7).
4. **Registration Procedure**
  - 4.1. Same as give in Section-A Clause 5.
5. **Duration of the PhD Programme**
  - 5.1. Regulations will be same as mentioned in Section-A Clause 6.
6. **PhD Evaluation and submission Procedures**
  - 6.1. Regulations will be same as mentioned in Section-A Clause 7-13.
7. **Fee Structure**
  - 7.1. Fee structure will be same as mentioned in Section-A Clause 16.

  
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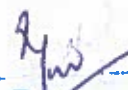



# King George's Medical University UP, Lucknow

## PhD Programme – Rules & Regulations

### Section D: PhD by Prior Publication

1. The “PhD by published work” route is intended primarily for senior research-active academic faculty. This will primarily be a degree meant to acknowledge the research achievements of the faculty member in an advanced stage of his/her carrier.
  - 1.1. Submissions for this award will consist of a coherent body of work that is of the same quality, rigor and volume as required of a standard PhD in that field and which constitutes an original contribution to the knowledge.
  - 1.2. KGMU welcomes applications from KGMU teaching faculty. Application will be considered on their merits.
2. **Eligibility Criteria and Applications Process:**
  - 2.1. Any faculty, Additional Professor or above, with minimum 10 Pubmed/scopes indexed publications on a single related topic of which at least 5 should be in last 5 years, of which at least 5 should be with impact factor >2 with at least 10 citations each, may be allowed to submit the work in form of a Synopsis for consideration for the award of PhD. Synopsis should point towards a significant new advancement in the field. Work thus produced should be an incremental advancement of existing knowledge in the field of research work.
  - 2.2. 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 same discipline.
  - 2.4. Any faculty (as per section-D 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 PhD committee, 2 external experts, as suggested by VC faculty Doctoral Committee (FDC) to evaluate the merit of the proposal.
    - i. Dean-Academics - Chairperson
    - ii. Dean of respective faculty (s)
    - iii. Two external Subject experts nominated by the Hon'ble Vice Chancellor
    - iv. Controller of Examination, Convener
  - 2.6. FDC will send its proceedings for the formal approval of the Hon'ble VC.
  - 2.7. If the application is successful, applicant will be notified for further admission formalities.

  
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# **King George's Medical University UP, Lucknow**

## **PhD Programme – Rules & Regulations**

### **3. Fee Structure**

3.1. Registration fee : Rs.30000.00 one time

### **4. Duration of the PhD 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
  - Conclusion clearly stating how their work has advanced existing knowledge and perhaps lead to change in policy/practice.
  - Future perspectives
  - Bibliography etc.
  - Enclose a copy relevant published papers as appendix

### **6. PhD Thesis Evaluation Procedures**

6.1. The regulations will be same as mentioned in section A- 11-13.

#### **6.1.1. Oral Defence**

6.1.1.1. If two or more external examiners accept the thesis, the candidates shall be called upon to appear for a viva voce examination before the thesis Oral Defense Committee.

6.1.1.2. Oral examination will be centralized, open house affair held within the University Campus. It will be open to all faculty and students of KGMU. Controller of Examination will convene the oral examination.

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

- i. Dean of the concerned faculty: Chairman.
- ii. One external examiner (nominated by Hon'ble VC, preferably from the ones who evaluated the thesis; if not available, then any other member from the panel of approved examiners).

  
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# King George's Medical University UP, Lucknow

## PhD Programme – Rules & Regulations

### 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. Regular Non-teaching staff of KGMU and who have desired qualification and who have completed at least five years of service at KGMU are eligible for enrolment in PhD programme at KGMU. The application should be submitted through the proper channel.
  - 2.2. All candidates must have acquired extramural funding directly or through chief guide/co-guide.
  - 2.3. The guides of non-teaching staff candidates should be a Additional Professor/ 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 must provide a No Objection Certificate, at the time of the interview, from the Head of the Institution, through proper channel (via the concerned Dean) stating that in the event of selection to the PhD program, the candidate will be allowed to do PhD. Candidate must submit an undertaking stating that the assigned work will not be compromised. PhD work will be permissible beyond duty hours.
3. **Registration procedure**
  - 3.1. Same as mentioned in Section-A
4. **Duration of the PhD Programme**
  - 4.1. Regulations will be same as mentioned in Section-A
5. **PhD Evaluation Procedures**
  - 5.1. Regulations will be same as mentioned in Section-A
6. **Fee Structure**
  - 6.1. Fee structure will be same as mentioned in Section-A

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# King George's Medical University UP, Lucknow

## PhD Programme – Rules & Regulations

### ANNEXURE I

To be completed signed and furnished to the academic section on stamp paper before registration.

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

1. I deponent.....age .....S.O/D.O  
Sri.....

.....have opted for PhD program through KGMU PhD program examination-2019 in King George's Medical University UP, Lucknow in the faculty of Medicine/Dental/Nursing and as deponent's own choice the deponent has taken admission on.....in the ..... department at the time of admission that the deponent has been specially 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. 5,000/-** (Five Thousands) only as penalty. 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 hereby declares that I am not drawing any salary/research scholarship /assistantship from any other institutions/source.
4. That the deponent shall not change the specified course or supervisor or not register himself/herself for any other course or program without approval of the chief guide.
5. That the deponent shall not take interruption or extend the specified period of studies without prior approval of his/her PhD Chief Guide.
6. That the deponent shall not undertake employment whether paid or otherwise during course of studies.
7. That all the terms and conditions mentioned in existing PhD rules & regulation of KGMU shall be deemed as a part of this deed of undertaking.

Place:- Lucknow

Date:-

Deponent

### Verification

I, the above name deponent do hereby verify that the contents of paragraph (1-7) 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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