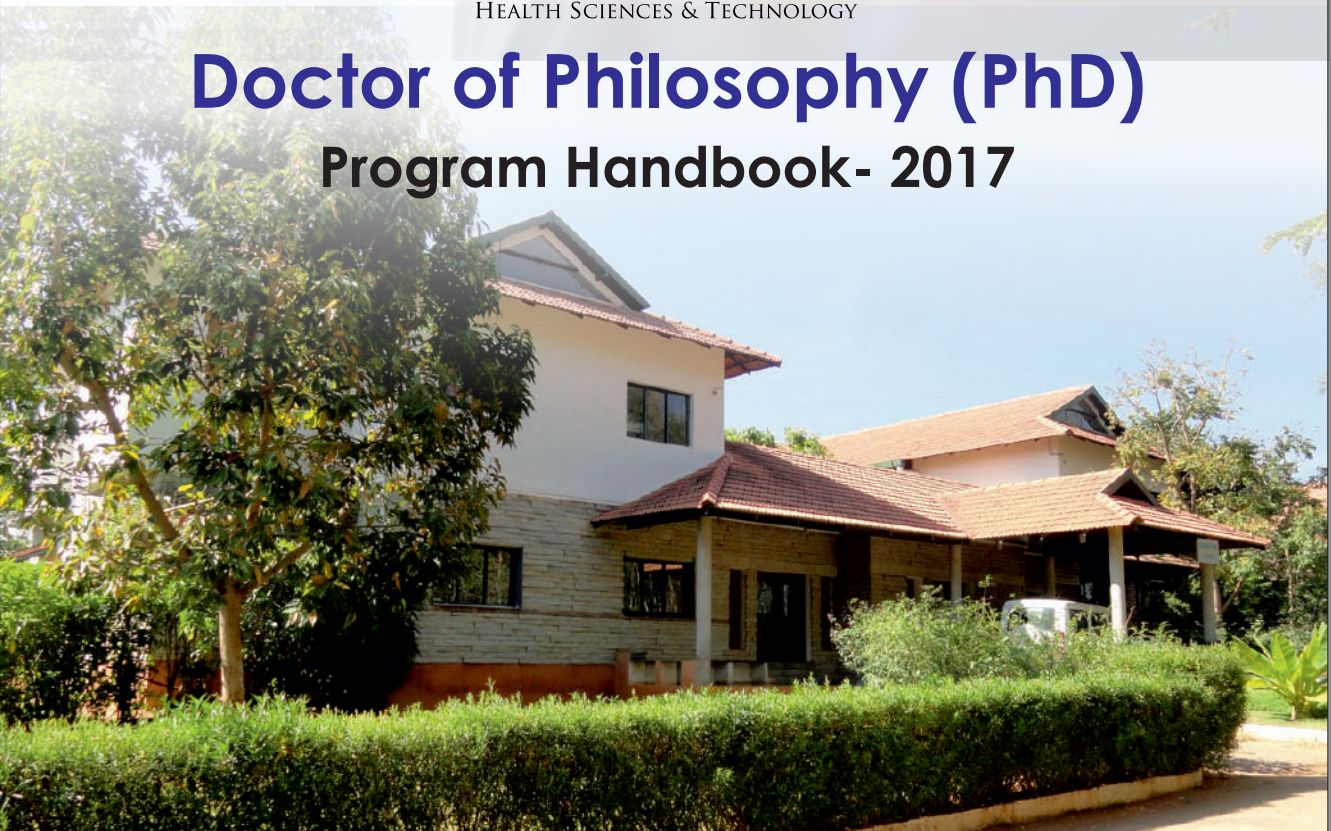




THE UNIVERSITY OF TRANS-DISCIPLINARY
HEALTH SCIENCES & TECHNOLOGY

Doctor of Philosophy (PhD)

Program Handbook- 2017



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1. PREAMBLE

The Degree of Doctor of Philosophy (Ph.D.) is awarded to a candidate who, as per the TDU regulations, has submitted a thesis on the basis of original and independent preferably TRANSDISCIPLINARY research that makes a contribution to the advancement of knowledge, which is approved by Board of examiners as required.

2. ELIGIBILITY

Candidates for admission to the PhD program shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

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 (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 September, 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.

Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated program. 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 (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.

Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. program.

3. DURATION OF THE PROGRAM

- Ph.D. program shall be for a minimum duration of three years, including course work and a maximum of six years.
- Extension beyond the above limits will be governed by the relevant clauses as stipulated in the Statute/Ordinance of TDU.
- The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration.
- In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.
- Exemption of ONE YEAR from the minimum duration required is permissible in respect of candidates who possess an M.Phil. and M.Phil. On INTER-DISCIPLINARY basis or M.Litt. (In the relevant subject) or Master's Degree in the faculty of Law, M.E and M.Tech.

4. ADMISSION

TDU shall admit candidates by a two stage process through

- An Entrance Test with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of Research Methodology and 50% shall be subject specific.
- The Entrance test WILL not be APPLICABLE for those students who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder.
- For the candidates who have cleared the Entrance Test /NATIONAL QUALIFYING EXAMINATION an interview/viva-voce will be organized. The candidates are required to discuss their research interest/area through a presentation before a duly constituted Research Committee.

The interview/viva voce shall also consider the following aspects, viz. whether:

- The candidate possesses the competence for the proposed research
- The research work can be suitably undertaken at TDU or Partner Institution
- The proposed area of research can contribute to new/additional knowledge.
- The proposed area of research is preferably Transdisciplinary in nature.
- The candidate has obtained the consent from the concerned research supervisor

The decision of the admission committee will be considered final.

5. REGISTRATION AT TDU

A candidate, certified as eligible for Ph.D. program by the Admission Committee, shall be provisionally registered for the Ph.D. Degree with the approval of the University and on

- Payment of prescribed fee.
- Submission of the Doctoral Advisory Committee (DAC) list with their consent
- Minutes of the first DAC meeting specifying the Part 1 courses to be undertaken by the Scholar
- On successfully completing the coursework, the student will submit to DAC a coursework completion report with appropriate enclosures along with his / her research synopsis for the acceptance of the DAC.
- The DAC after reviewing the coursework will recommend the confirmation of the student's PhD registration to the GRC. The registration confirmation is subject to the approval of GRC.
- The student's PERMANENT registration is confirmed only after the student successfully completes the coursework within 1 year of temporary registration and which is certified by the Student's Doctoral Advisory Committee

6. ALLOCATION OF RESEARCH SUPERVISOR

(Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of M.Phil./Ph.D. scholars permissible per Supervisor, etc.)

- Any regular Professor of TDU/Partner Institution with at least five research publications in refereed journals and any regular Associate/Assistant Professor of TDU/ Partner institution with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.
- Provided that in areas/disciplines where there is no or only a limited number of refereed journals, the Institution may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Only a full time regular faculty of TDU/ Partner Institution can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary/Transdisciplinary areas from other departments of the same TDU/Partner Institutions or from other related institutions with the approval of the GRC.

The allocation of Research Supervisor for a selected research scholar shall be decided by TDU/Partner Institution concerned depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of interview/viva voce. However, the scholar should indicate their preference for the research supervisor along with the consent of the supervisor at the time of the interview.

A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than three (3) M.Phil. and Eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of two (2) M.Phil. and six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of one (1) M.Phil. and four (4) Ph.D. scholars.

7. CHANGE OF SUPERVISORS AND TRANSFER OF SCHOLARS:

Transfer of Ph.D. scholars from one supervisor to another supervisor can be effected, with mutual willingness in writing, given by both the present and proposed supervisors.

In the case of change of supervisor or transfer of candidates is proposed without the consent of any one of the parties concerned, the matter shall be referred to the GRC, whose decision shall be final.

The supervisors who wish to avail leave/lien/deputation beyond a period of SIX MONTHS shall nominate co-supervisor in the concerned subject for the candidates registered with them and the fact may be intimated to the University well in advance.

8. WITHDRAWAL OF RECOGNITION

If a Supervisor is found to involve in plagiarism, fraudulent academic accomplishments and other activities DETRIMENTAL to the reputation of TDU, his/her guide-ship will be summarily withdrawn without assigning any reason thereof.

9. CANCELLATION OF THE Ph.D. REGISTRATION

In case of candidates who do not possess an M.Phil. degree, who have not taken Part I course work and examination and the minutes of the meeting of the Doctoral Committee for them are not forwarded to the University on completion of ONE year of provisional registration, their registration shall be cancelled by the University on completion of 18 months from the date of provisional registration.

In case of recommendation for cancellation of the registration by the supervisor, the candidate shall be intimated about the grounds on which the registration is being proposed for cancellation.

In case of any representation from the candidate/supervisor, the Joint Registrar academics and Dean (Research) after consulting the Supervisor and the candidate shall refer the matter to the GRC which may either suggest cancellation or change of supervisor depending on the merit of the case. The decision of the GRC shall be final.

The registration of a research scholar whose progress is not satisfactory or who has not reported in person to the supervisor for any one semester is liable to be cancelled by the University.

The registration of a research scholar who has not submitted his/her thesis by the end of the prescribed /extended period as provided in the Regulations will be cancelled by the University.

Registration may be cancelled on the recommendations of the Doctoral Committee based on the lack of progress as reported by the Guide and also after giving due opportunity to the candidate for defending his case

10. PARTNER RESEARCH INSTITUTIONS

TDU partners with various research institutions, centres of excellences or research centres for joint research projects. Due to this, PhD Students can avail the following:

- Choose faculty at partner research institutions as their research supervisors or co-supervisors depending on the subject of his / her research work.
- Get access to facilities at these partner research institutions on a need basis with prior approval from both their School Advisor and the Partner Research Institution.
- Take coursework conducted at these partner research institutions to earn coursework credits.

11. UNIVERSITY ACADEMIC AND RESEARCH COUNCIL

The University Academic and Research Council (ARC) is the final decision making body for all official academic policies and frameworks that govern all education programs at TDU. The ARC is responsible for approving the guidelines for the PhD Program as recommended by the Graduate Research Council GRC.

12. COURSE WORK

(Credit Requirements, number, duration, syllabus, minimum standards for completion, etc.)

The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.

The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. A course on Transdisciplinary framework of 3 credits offered by TDU will be compulsory. Other courses shall be advanced level courses preparing the students for Ph.D. degree.

The School at TDU /Partner Institution where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the DAC and GRC.

All candidates admitted to the Ph.D. Programmes shall be required to complete the course work prescribed BY THE COMPLETION OF 1 YEAR.

Candidates already holding M. Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in integrated course, may be exempted from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed.

Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the GRC and the DAC

A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point 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 in the program and submit the dissertation/thesis.

13. RESIDENTIAL REQUIREMENTS

A candidate registered on a full-time basis shall work under continuous supervision for the minimum period of research prescribed supra after the date of provisional registration and before submission of the thesis in the department or institution.

The scholar should have a minimum of 80% attendance.

A candidate registered for the Ph.D. programme as a part-time candidate is expected to do research in his/her place of employment and in addition he/she should undergo such course work, examination and research work as may be prescribed by TDU/Supervisor/Doctoral Committee for a minimum period of SIX MONTHS during the research period.

In all the above cases the research work shall be monitored by the Doctoral Committee hereinafter prescribed, through reports ONCE IN SIX MONTHS submitted by both Full-time students and Part-time students in the prescribed Proforma.

14. EXAMINATION AND EVALUATION

COURSE WORK EXAMINATION AND EVALUATION

- Every candidate provisionally registered for the Ph.D. programme shall undergo course work (PART 1) in the first year. The course work consists of the following:
- Paper I: Research Methodology
- Paper II: TransDisciplinary framework
- Paper III: Background Paper relating to the candidate's Ph.D. work.
- The syllabus for Paper-I & IIM will be framed by TDU. The syllabi for the Paper III will be prescribed by the respective School/ Institution.
- Based on the performance in each subject, the student is awarded a final letter grade. The letter grades and the corresponding grade points are as follows.

Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 7-point 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 in the programme and submit the thesis. A scholar who gets less than C grade in a course work, he/she has to redo that course.

15. SCHEME OF EXAMINATIONS

The Doctoral Committee will conduct the written examinations for all the three papers, each of three hours duration carrying 100 marks each and also the Viva-Voce. The results will be communicated by the Supervisor to the Joint registrar academics with the answer scripts and questions along with the Minutes of the Meeting of the Doctoral Committee. On the basis of these examinations, provisional registration of the candidate will be confirmed by the University. He/She shall be permitted to proceed with his/her research work and submit the thesis at the expiry of minimum total period of research prescribed. The candidate should give seminars periodically after the confirmation of registration in the general field and in the topics connected with his/her research work.

The Doctoral Committee will periodically have to monitor the progress of the work of the scholar and the report may be sent to the University without fail once in six months. Candidates who possess M.Litt. or M.Phil. or M.L., M.E., M.Tech., M.Arch., M.D., M.S., qualifications in the same discipline/field of research are eligible for exemption from undergoing the written examinations of all the three papers.

16. DOCTORAL ADVISORY COMMITTEE (DAC). AND ITS FUNCTIONS:

There shall be a Doctoral Advisory Committee for each Ph.D. scholar. The Research Supervisor of the scholar shall be the Convener/Chairperson of this Committee. This committee will be constituted immediately after the candidate is selected for admission and prior to temporary registration of the scholar.

The following members shall constitute the Doctoral Committee as approved by the Vice-Chancellor.

- The Supervisor (Convener).
- Two External experts selected by the Joint Registrar academics and Dean research of TDU of the respective faculty from a panel of six experts recommended by the Supervisor from the academia/Industries/ R&D organizations.
- The Co-supervisor, if any.
- In case of Part- time candidates, the Co-Supervisor/Research coordinator from the organization where he/she is employed.
- An expert in the allied areas of research from TDU, if required.

THIS COMMITTEE SHALL HAVE THE FOLLOWING RESPONSIBILITIES:

- To review the research proposal and finalize the topic of research;
- To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- To periodically review and assist in the progress of the research work of the research scholar.
- A research scholar shall appear before the DAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the DAC to TDU with a copy to the research scholar.
- In case the progress of the research scholar is unsatisfactory, the DAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the DAC may recommend to TDU with specific reasons for cancellation of the registration of the research scholar.

17. PRE Ph.D. PUBLICATIONS

A research scholar shall publish at least two research papers in a refereed journal before the submission of the thesis for evaluation, and shall forward a copy of the research paper (or preferably in UGC recommended journals acceptance letter, in case the paper is scheduled for publication at a later date) through the Supervising Teacher to the office of the Joint registrar academics TDU.

18. SUBMISSION OF SYNOPSIS

Upon satisfactory completion of the research work and after

- The publication of at least two research papers in indexed journals approved by TDU
- Two paper presentations in conferences/seminars.

The research scholar is permitted to submit the synopsis of the Ph.D. work to the Controller of Examinations, TDU.

The synopsis could be submitted after two years and nine months from the date of registration.

Prior to submission of the synopsis, the student shall make a pre-Ph.D. presentation at TDU that may be open to all faculty members and research students, for getting feedback and comments, which may be suitably incorporated into the synopsis and thesis under the advice of the supervisor.

Letter Grade	Grade Points	Range of Marks
O (Outstanding)	10	95-100
A+ (Excellent)	9	90-94
A (Very Good)	8	85-89
B + (Good)	7	75-84
B (Above Average)	6	65-74
C (Average)	5	55-64
F (Fail)	0	<55 Failure due insufficient marks in the course
Ab (Absent)	0	Failure due to non-appearance in the examination

After the approval of the research work reported in the synopsis by the Doctoral Committee, the Supervisor shall forward 6 hard copies of the synopsis of the proposed thesis, with a soft copy on CD to the Controller of Examinations along with a panel of examiners as specified in TDU Ph.D. guidelines.

19. SUBMISSION OF THESIS

The research scholar shall, within six months of submission of the synopsis, prepare thesis in accordance with the format and specification prescribed. The thesis shall report, in an organized and scholarly fashion, highlighting the original contribution made in the research work of the candidate. The thesis should be submitted after the completion of the minimum period and before the completion of the maximum period of the Ph.D. programme.

While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism after testing the thesis with a Plagiarism software recommended by the university and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution.

He/She shall submit 6 hard copies of the thesis along with a soft copy on CD to the Controller of Examination.

Under no circumstances, the submission of thesis shall be delayed except under special circumstances, where an extension of three months may be granted with the recommendation of the Doctoral Committee by the Vice-Chancellor.

20. ADJUDICATION OF THE Ph.D. THESIS

PANEL OF EXAMINERS

After the submission of synopsis / thesis, the supervisor is advised to submit the panel of Examiners for the candidate in consultation with the other members of the Doctoral Committee in a sealed cover to the Controller of Examinations in the prescribed format. A Panel of.

- (1) Three Examiners from overseas of non-Indian origin with 10 and more than 10 years of research and teaching experience.
- (2) Three Examiners from North, East, Western parts of India and.
- (3) Three Examiners exclusively from Karnataka region (for viva-voce purpose) to be provided by Supervisor.

The Ph.D. thesis submitted by a research scholar shall be evaluated by his/her Research Supervisor and at least two external examiners nominated by the Vice Chancellor from among the panel of examiners recommended by the Supervisor who are not in employment of the University, of whom one examiner should be from outside the country and another examiner from outside the state (where the University campus is located).

The Vice Chancellor, if he deems it necessary, may also nominate examiners from outside the panel.

The Controller of Examination shall take such steps as deemed necessary to enable the reports of the examiners to be received as quickly as possible.

In the case of undue delay in receiving the report from the examiner, the Controller of examination shall refer the thesis to the second examiner selected by the Vice Chancellor, after waiting for three months and ensuring that the first examiner is not going to respond within a reasonable period of time.

The examiner shall include in his report an overall assessment placing the thesis in one of the following categories:

- a) Recommended for the award of the degree of Doctor of Philosophy Commended / Highly commended.
- b) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be referred to the Supervisor for verification
- c) Recommended that the candidate revises the thesis as suggested in the report and the revised thesis be sent to the examiner for reevaluation.
- d) Not recommended

The examiner shall enclose a report of 200 to 300 words, indicating the standard attained in case (a), the nature of revision in case (b) or (c) and the reasons for rejection in case (d)

On receipt of the reports from the examiners, the following procedure shall be adopted:

- a) If all the examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification, etc., suggested by the examiners shall be carried out before the oral examination.
- b) If any examiner recommends revision of the thesis, the candidate shall be permitted to revise and resubmit the thesis within 6 months with the approval of the Doctoral Committee. The revised thesis shall be referred to the same examiner, if the examiner has insisted the University to send the thesis back to him/her after revision for offering his/her final recommendation on the thesis. In such a case the examiner should offer his/her

comments for the second time either as recommended for the award or rejection. In case, the examiner did not insist on sending the thesis back to him, then the University may refer the revised thesis to the Supervisor for verification.

c) If one external examiner recommends the award of the degree while the other recommends rejection, then the thesis shall be referred to a third examiner to be nominated by the Vice Chancellor. If the third examiner recommends the award, the thesis shall be provisionally accepted. Otherwise, the thesis shall be rejected and the registration of the candidate cancelled.

d) If both the external examiners recommend rejection, the thesis shall be rejected and the registration of the candidate be cancelled.

e) When the commendation of the examiner on the revised thesis is not as stipulated or in the case of any dispute, the Vice Chancellor, if he deems it necessary, shall refer the thesis and the comments to a committee constituted by the Vice Chancellor for this purpose.

f) Individual cases not covered by the above regulations shall be referred to the Vice Chancellor for his final decision.

21. PUBLIC VIVA-VOCE EXAMINATION

The public viva-voce of the research scholar to defend the thesis shall be conducted by a Board of examiners to be constituted by the Vice Chancellor. Only if the evaluation reports of the external examiner on the thesis are satisfactory and include a specific recommendation for conducting the viva-voce examination.

The public viva-voce examination board shall include:

- a) The examiner of the thesis from India or if the Indian examiner of the thesis is not available, a member from the panel of Indian examiners already recommended by the Supervisor.
- b) An examiner from the panel of oral examiners already approved.
- c) Supervisor of the candidate.

The convener of the Doctoral committee will be the Convener of Oral examination board and the oral examination shall be conducted as "Open defense type" examination.

If the performance of the research scholar in the Oral examination is satisfactory, he/she will be awarded Ph.D. degree on the recommendation of the GRC and with the approval of the ARC of the University.

The Ph.D. degree certificate shall incorporate the title of the thesis along with the name(s) of the discipline(s).

In the case of the award of the Ph.D. degree for inter-disciplinary research, the degree certificate shall bear both the subjects of the candidate's doctoral research mentioning them as "inter-disciplinary".

Along with the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions to the regulations of the UGC.

22. PUBLICATION OF THE THESIS

After the viva voce examination, the candidate shall submit a copy of the thesis in CD ROM duly certified by the Supervisor that all the corrections have been duly carried out as suggested by the examiners, if any, for UNIVERSITY ARCHIVES.

The University 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/Colleges.

Papers arising out of the thesis may be published by the candidate. However, the thesis as a whole shall not be published by the candidate without the specific approval of the University.

23. TRANSITORY PROVISION

These Revised regulations shall come into effect from 1ST July 2017. However, for those who are to submit the thesis before the month of December, 2017 the existing Regulations shall prevail.

The GRC of TDU may revise, amend or change the regulations from time to time.

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