

CHRIST (Deemed to be University)
CU Regulation for the Degree of Doctor of Philosophy 2022

A. Preamble

Christ University, formerly Christ College affiliated to Bangalore University, established in July 1969 was declared an Institution Deemed to be University by Notification No. F. 9-34/2007-U.3 (A) dated 22 July 2008 of the Ministry of Human Resources Development (MHRD) under Section 3 of the UGC Act 1956. Guided by the instruction of UGC pursuant to the Order of the Hon'ble Supreme Court, Christ University changed its name as CHRIST (Deemed to be University) with effect from 30 November 2017.

B. Policy

The University encourages PhD Research of highest quality on subjects and topics within its authorised Disciplines which has implications on core knowledge, value added applications and innovativeness. CU Regulation for Delegation of PhD Programme to Academic Departments 2018' provided as Annexure I to this regulation is incorporated into this Regulation as an addendum.

C. Regulation

This Regulation of the University lays down the conditions and procedures for the award of the Degree of PhD. It is the revised and updated version of the Regulation for the Degree of Doctor of Philosophy 2019 and complies with the guidelines contained in the University Grants Commission (Minimum Standards and Procedure for Award of MPhil/PhD Degrees) Regulations, 2022 and the notified amendments thereto. This Regulation shall be applicable to PhD Scholars admitted from December 2022.

1. Format of the PhD Programme

- a. Award of Degree of PhD by CHRIST (Deemed to be University) will require the candidates to successfully complete the structured Coursework (including general and domain related Research Methodology, Research and Publication Ethics and Teaching Methodology), Comprehensive Research Work, Publications in Refereed Journals, Participation and/or Presentation in Doctoral Colloquium/National or International Seminars/Conferences/Symposia, Synopsis Review, Thesis Evaluation and Public Defense.
- b. The Programme shall be on full-time basis. Candidates who are engaged in employment with a minimum work experience of two years in a related field may be admitted to the Programme with the consent of their employer in the prescribed form and subject to their full-time presence for the Coursework of stipulated duration and full compliance of all other requirements of this Regulation.
- c. There shall be no PhD Programme in Distance Education Mode.
- d. The PhD Degree Certificate will indicate the Discipline under which the Programme was pursued, the Title of the Thesis and the Date of Public Defense.

2. Duration of the Programme and Fee Rules

- a. The PhD Programme shall be for a minimum duration of three (3) years including the Coursework and maximum of six (6) years for both full-time and part-time mode other than under Clause 2.d.
- b. A full-time PhD Scholar shall be present during all the working days of the University and shall not undertake any employment while being on rolls of the University. However, the University after the recommendation of the RAC can permit a candidate to opt for the part-time doctoral programme.
- c. Part-time PhD Scholars are free to undertake any employment that does not conflict with the quality research of the candidate. Every part-time Scholar is expected to be present in the University and have research meetings with the supervisor at least twice a month or once a fortnight.

- d. A maximum of an additional two (2) years can be given through a process of re-registration in cases recommended by the Centre for Research and approved by the Doctoral Committee of the University; provided, however that the total period of the completion of the PhD programme should not exceed eight (8) years from the date of admission in the PhD programme.
- e. Female candidates and persons with disability (more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a PhD programme in such cases should not exceed ten (10) years from the date of admission in the PhD programme.
- f. Female PhD Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the PhD programme.
- g. The Course Fee for the PhD Programme as may be notified shall be payable yearly in advance for every year of its duration.
- h. In case, the duration is required to be extended beyond the maximum period (6 years) as indicated above shall be subject to approval of the Doctoral Committee (DC) based on the recommendation of the RAC. The candidate shall be required to pay the prescribed annual fee for each year or part thereof of extension prior to such extension.
- i. No extension beyond one year shall be considered at any one point of time and any request for extension beyond the first extension will carry a Course Extension Fee as may be prescribed.

3. Doctoral Committee

The University shall have a centralised Doctoral Committee (DC) to be the apex body to oversee and approve the conduct of all PhD Programmes of the University. The DC shall be responsible for all policy decisions concerning the doctoral programmes (PhD) of the University duly supported by scholar-wise Research Advisory Committees.

- i. Specific responsibilities of DC shall include:
 - a. Approval/ratification of enrolment of students provisionally admitted to the PhD Programmes conducted by the University including ratification of their eligibility norms.
 - b. Approval for empanelment of Supervisors and Co-Supervisors for the PhD Programmes conducted by the University including variations (by exception) in their eligibility norms and fixing the number of Research Scholars they may supervise.
 - c. Approval of discipline-wise coursework.
 - d. Review of the Progress Reports of the Research Scholars as may be approved by the RAC.
 - e. Approval of External Experts for Synopsis Review/Defense Examination.
 - f. Approval of continuation of Supervision by the retiring/discontinuing faculty and/or change of Supervisor under exceptional circumstances.
 - g. Approval of discipline-wise annual/cohort intake for PhD programmes depending on the availability of eligible Research Supervisors duly considering Scholar-Supervisor ratio and the required academic/physical facilities for research.
- ii. The DC shall have a minimum of 10 and maximum of 15 members including the permanent invitees and shall consist of the following members:
 - a. Vice Chancellor - Chairperson.
 - b. Pro-Vice Chancellor - Deputy Chairperson.
 - c. Director/Additional Director of the Centre for Research - Secretary.
 - d. Up to two Deans (by rotation) from among Research Disciplines nominated by the Vice Chancellor.
 - e. Up to three members (by rotation) from among the Research Supervisors (representing Sciences/Engineering, Social Sciences/Law /Arts and Humanities, Commerce /Management and Architecture) nominated by the Vice Chancellor.
 - f. Two External Experts with research credentials nominated by the Vice Chancellor.
 - g. Controller of Examinations - Permanent Invitee.
 - h. Registrar - Permanent Invitee.

- iii. The DC shall meet as and when needed but at least twice in a year. The Quorum for the Meetings of DC will be six (6) members other than invitees present.
- iv. All nominated members of DC shall have a tenure of three (3) years who may be reappointed at the discretion of the Vice Chancellor.

4. Research Disciplines

- a. Following academic disciplines have been approved for the doctoral research programme: Architecture, Biotechnology, Botany, Chemistry, Civil Engineering, Commerce, Computer Science, Computer Science and Engineering, Cultural Studies, Data Science, Economics, Education, Electrical and Electronics Engineering, Electronics and Communication Engineering, English Studies, Forensic Science, History, International Studies, Law, Management, Mathematics, Mechanical Engineering, Media Studies, Physics, Political Science, Psychology, Social Work, Sociology, Statistics, Tourism, Zoology, Music.
- b. More disciplines may be added from time to time with the approval of the Academic Council and the Board of Management of the University.

5. Eligibility for the Programme

- a. The following are eligibility criteria for admission to the PhD programme:
 - i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme in the relevant discipline or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme in the relevant discipline or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.
A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates.
Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme in the relevant discipline should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates.
 - ii. Candidates who have completed the MPhil programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the PhD programme. A relaxation of 5% marks or its equivalent grade may 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.
 - iii. A pass in the Entrance Test and Interview conducted by CHRIST (Deemed to be University). Entrance Test for those students who qualified UGC-NET (for Category I-JRF, II-Appointment as Assistant Professor and III-PhD Admission)/UGC-CSIR NET (including JRF)/ SLET/ GATE/ CEED and similar national level tests approved by the University may be exempted, but will have to pass the Personal interview to be considered for admission.

- b. Professional qualification in Chartered Accountancy /Cost Accountancy/ Company Secretary as awarded by the respective Statutory Institutes of India shall be considered as equivalent to Master's Degree for the purpose of enrolment for PhD in Commerce, Management and/or related disciplines as approved by the Regulatory Authority concerned.
- c. No candidate will ordinarily be permitted for admission to PhD programme in a Subject/Faculty different from the one in which the candidate has obtained the Master's Degree. However, permission to pursue in a different Subject/Faculty may be considered by the Doctoral Committee in special cases with conditions as may be prescribed.

6. Admission Process

- a. The Office of Admissions by or during March and October shall publish the admission notification in the University website and also in two national newspapers of which one shall be in the regional language. It shall specify the subject/ discipline-wise distribution of available seats, eligibility criteria, application procedure, centre/s for entrance test, scheduled date of test /interview and such other relevant information for the benefit of the candidates.
- b. Students who have qualified UGC-NET for Category I-JRF, II-Appointment as Assistant Professor and III-PhD Admission/ UGC-CSIR NET (including JRF)/ SLET/ GATE/ CEED shall apply for PhD any time of the year by sending their research proposal and curriculum vitae to research@christuniversity.in. Such students will be exempted from Entrance Examination but will have to pass the Personal interview to be considered for admission.
- c. The Application Form for PhD along with the Research Proposal shall be filed Online through the specified link in the University Website (www.christuniversity.in) as per the directions given therein and by paying Online the prescribed non-refundable Admission Processing Fee.
- d. Candidates who meet eligibility criteria and whose Application is complete in all aspects can download the E-Admit Card to appear for the Admission Process.
- e. The Admission Process will consist of an Entrance Test for 100 Marks of two hours duration followed by a personal interview. The syllabus for the Entrance Test will cover 50% relating to General Research Methodology and 50% on specific Discipline. Candidates must score at least 50% in the Entrance Test.
- f. A relaxation of 5% marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/Differently abled category, Economically Weaker Section (EWS), and other categories of candidates.
- g. The Personal Interview will be organised by the Office of Admissions on specified date/time (generally on the same date of Entrance Test) by constituting an Interview Board of three members consisting of the Head of the Department concerned or a Senior Professor/Associate Professor from the Department, a Supervisor in the field of Research and a chosen independent member from the panel of specific discipline experts recommended by the Centre for Research/Department concerned.
- h. Candidates will be required to make a presentation of their Research Proposal to the Interview Board.
- i. Every member of the Interview Board will independently assess the Research Proposal /Candidate competency on a joint sitting based on the criteria such as the clarity of the proposed research problem including value added by the proposed research, research aptitude, analytical and interpretational skills, and the general subject knowledge of the candidate. The members will independently submit their individual assessment about the Candidates to the Office of Admissions in the prescribed format.
- j. The Office of Admissions will consolidate the candidate assessment duly compiling the scores on Eligibility Norms, Entrance Test, Personal Interview and Publications evaluated on a total Score of 100 Points (as per specified Format) and prepare discipline-wise rank list of Provisional Admissions of candidates who have secured a total Score of at least 50 Points and forward the same to the Centre for Research. For the purpose of reckoning the score points the weight will be 70% for Entrance Test and 30% for Interview/Viva Voce.

- k. The Centre for Research will review the list of shortlisted applicants and forward the list of candidates approved for Provisional Admission to the Office of Admissions to notify individually to the selected candidates.
- l. The Office of Admissions will notify the selected candidates with direction to pay the prescribed Course Fee for the first year of the programme within the specified date and to appear for verification of documents.
- m. Deserving candidates of poor economic background may be considered for Fee Concession for which the candidate may make a written request with supporting documents of financial status and will meet the Fee Concession Committee/ Chief Finance Officer of the University by prior appointment. This has to be completed after receipt of selection notification but prior to the date specified for payment of fee.
- n. The Office of Admissions in due course will forward the discipline wise list of candidates who have completed the document verification including fee payment to the Centre for Research and to the Head of the Department concerned (where the Department is authorised to conduct the PhD programme under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018) for commencement of the PhD Coursework.
- o. The list of Provisional Admissions shall be presented for the approval of the DC, the Academic Council and the Board of Management.
- p. The Admission Process shall normally be completed within a period of sixty (60) days from closing date for receipt of applications.
- q. On the basis of the results of Coursework completed by the candidate as conveyed to the Office of Admissions, the Provisional Admission of the successful candidates will be confirmed to proceed with their PhD research.
- r. The Office of Admissions of the University shall maintain a yearwise Admission Register for all students admitted (confirmed admission) to the PhD Programme with such details as may be specified. The University shall also carry in its website yearwise list of students registered for PhD duly displaying the name of the Research Scholar, topic/discipline of research, name of the Supervisor /Co-Supervisor and the date of enrolment.
- s. The Centre for Research shall notify, well in advance, on the University website, the number of seats for admission, discipline-wise distribution of available seats, criteria for admission, the procedure for admission and other relevant information for prospective candidates.

7. PhD Programme Content and Conduct

- a. The PhD programme shall consist of mandatory Coursework, Pre-Doctoral Colloquium on the Research Proposal and the Doctoral Research in that order. Duration of the Coursework shall be six (6) months which shall be counted within the overall normal duration of three (3) years for the Programme. The credit assigned to PhD Coursework shall be a minimum of twelve (12).
- b. The Coursework will be based on specified syllabus divided into three or four units, duly approved by the DC, the Board of Studies (BOS) of the Department concerned and the Academic Council. The syllabus approved by the DC will be ratified by the BOS of the Departments concerned. Where the Departments wish to offer additional courses, it shall be done in consultation with the Centre for Research and approved by the BOS of the Department and the DC.
Provided, candidates admitted after a one year/two semester master's degree or after a four-year bachelor's degree, or those pursuing interdisciplinary research may be required to study and pass additional courses, as determined by the Department concerned and the Centre for Research and with the approval of the DC. Such courses would be to bridge the knowledge or skill gap required to pursue the research in the area/topic proposed by the candidate and would be for not more than one-year.
- c. The Coursework will include topics on Foundations of Research, Research Methodology, Research and Publication Ethics, Research Writing, and Training in Teaching/Pedagogy/Andragogy.



- d. The Coursework will be conducted by the Centre for Research or by the Department (where the Department is authorised to conduct the PhD Programme under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018) in conformity with the credit hour instructional requirement/assessment method and specified content as per the Syllabus and a structured Course Plan.
- e. The Coursework will require mandatory attendance of 85% and will be evaluated by conducting at least two (2) Continuous Internal Assessments (CIA) and End of the Course Examination (ECS). The final result for the Coursework will be on a weight of 50% each for CIA and ECS with a minimum pass mark of 50% individually (for CIA and ECS) and 55% in aggregate.
- f. The ECS and its valuation will be conducted independently under the guidance/direction of the Controller of Examinations.
- g. The Results of ECS will be announced within 30 days of its completion and will be individually communicated to the students.
- h. On successful completion of the Coursework and Comprehensive Viva with the required marks/grade as specified in Sub-Clause (e) above, the candidate will be issued a Marks Card and the Coursework Completion Certificate by the Office of the Controller of Examinations based on the information conveyed by the Centre for Research or the Department concerned, as the case may be.
- i. Obtaining the 'Coursework Completion Certificate' by the candidate shall be a pre-requisite for confirmation of admission for the PhD programme in order to pursue the PhD research.
- j. Students who do not get minimum specified marks (50 per cent) for CIA may be given up to two chances for reassessment based on such new assignments as per the approved course requirements and as may be decided by the faculty concerned.
- k. Students who fail in ECS may be given one more opportunity by way of a Supplementary Examination which shall be held after a period of 30 days from the date of announcement of results but not later than 60 days thereof. Supplementary Examination shall be only for failed students.
- l. Students to write the Supplementary Examination will be required to pay a Fee as may be prescribed.
- m. Students whose attendance is below 85% may be required to complete additional research assignment/s to be eligible to write the ECS and those who do not have at least 75% attendance will not be permitted to write the ECS and may be required to repeat the Coursework.
- n. Candidates who fail in the Coursework even after one permitted Supplementary Examination will have their Provisional Admission cancelled and may have to re-apply in case they wish to enrol for the PhD Programme.
- o. There shall be no refund of fee already paid by the candidates whose admission could not be confirmed due to failure in Coursework.
- p. The 'Pre-Doctoral Colloquium' refers to a deliberated review of the Research Proposal in a presentation by the Candidate (Student) in consultation with the assigned Supervisor to a forum of Experts/RAC, invited Professors and interested Research Scholars. The colloquium which shall be generally held within one month of the announcement of the result of Coursework may suggest various aspects of the Research Proposal including but not limited to thesis title, scope of research, methodology and statistical tools. The suggestions offered during the colloquium need not necessarily be adopted absolutely but must be given due consideration by the Research Scholar based on appropriate guidance of the Supervisor concerned.
- q. Post Pre-Doctoral Colloquium, the Research Scholar will be recognised as a Research Scholar to proceed with PhD research under the guidance of the Supervisor, which shall be subject to a minimum of bi-annual reviews by the duly constituted RAC.
- r. PhD Scholars may be assigned four (4) to six (6) hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations. PhD Scholars availing UGC-NET/UGC-CSIR NET and similar fellowships may be assigned up to ten

(10) hours of teaching/research assistantship for conducting tutorial or laboratory work and evaluations as specified by the UGC in related regulations.

8. Programme Administration

- a. The PhD Programme of the University for all the Disciplines shall generally be administered by the Centre for Research (PhD) except in the case of disciplines where the Department concerned is authorised to do so under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018. Administration of the Programme starting from conduct of Coursework till the Thesis Defense shall be coordinated by the Centre, by constituting scholar-wise Research Advisory Committee (RAC) in line with Clause 1(b) of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 – RAC. RACs for the programmes administered by the Centre will have at least three members (preferably Professor or Associate Professor) from the related Department/s of the Research Discipline concerned. The RAC shall consist of a minimum of three members - Supervisor, Co-Supervisor/Subject Expert and a Subject Expert. Supervisor shall convene and chair the RAC meetings. The Dean of School, HOD and the PhD Coordinator shall be the permanent invitees for the RAC meetings. However, depending on the need of the Department/Scholar, the Centre may appoint the HOD/Department PhD Coordinator who is not below the rank of Associate Professor as the Chair of the RAC.
- b. There may be more than one PhD Coordinator of the Centre to coordinate RACs of specific Discipline Groups – Sciences, Social Sciences (including Education), Commerce, Management, Engineering, Law etc – who shall be the Secretary responsible for compliance of all regulatory compliances under the guidance/supervision of the Director of the Centre. RACs shall be approved by the HOD of the Department concerned or by the Head of the Department and Dean of the School/Campus as the case may be and forwarded to the Centre for Research.
- c. There shall be four RAC meetings for each Research Scholar each year until the submission of the Thesis. RAC meetings may be scheduled by the Department PhD Coordinator in consultation with the Supervisor of the Scholar.
- d. Departments authorised to directly handle the PhD Programme shall do so in strict compliance of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 read with the procedures and guidelines thereto relating to RAC and the conduct of the programme.

9. Assigning the Research Supervisor

- a. The Centre for Research shall maintain a list of PhD Supervisors (specifying the name of the supervisor, designation, and department/school) along with details of PhD Scholars (specifying the name of the registered PhD Scholar, topic of research and date of admission) admitted under them on the website of the University and update the list every academic year.
- b. The Centre for Research will present to the DC the list of discipline-wise selected candidates duly considering the permissible intake along with its recommendation for assignment of Supervisor for each candidate choosing from an already approved panel of Supervisors and in consultation with the Department concerned. In the same manner, the Centre, in consultation with the Supervisor, may also propose to assign a Co-Supervisor for candidates whose Research Proposal stretches its scope to multiple faculty disciplines.
- c. Every candidate provisionally selected for the PhD programme shall be assigned a Research Supervisor under whose guidance the PhD Research shall be carried out.
- d. The candidates whose research is interdisciplinary requiring guidance from multiple faculty disciplines may, at the request and consent of the Supervisor, be allotted a Co-Supervisor to guide the candidate on such specific areas as may be required. The Co-Supervisor shall work inclusively in collaboration with the Supervisor and not as an independent Supervisor.

- e. The Research Supervisor/Co-Supervisor will be allotted by the Centre for Research as specified in Clause 6(k) above and in accordance with their discipline expertise choosing from the pre-approved panel of Research Supervisors duly considering the number of Scholars they are already guiding and the maximum number of Scholars they are permitted to guide at any point of time.
- f. The Research Supervisor/Co-Supervisor shall be required to sign a declaration that he/she is not a relative of the candidate.
- g. No candidate shall be permitted to seek a particular Supervisor or to directly or indirectly influence the allotment of the Supervisor.
- h. The candidate while undergoing the Coursework may start interacting with and/or acting on the guidance of the assigned Supervisor with regard to planning or scheduling their PhD Research including literature survey/review, though however, all such interactions/actions taken shall have continuity and effect only subject to successful completion of the Coursework by the candidate.
- i. The candidate and the Supervisor shall be required to sign a PhD Study Agreement in the form prescribed by the University, which will elaborate on the duties, responsibilities and compliance requirements to be abided by the candidate and the Supervisor.
- j. The Supervisor and the Co-Supervisor shall be from among the full-time regular faculty of the University at the level of Professor/Associate Professor/Assistant Professor working in the Department of the applicable faculty discipline, who meet the eligibility conditions for PhD supervision. Centre for Research shall evolve adequate measures in case of assigning Research Scholars to persons holding academic administrative positions or having a say in the administration of the PhD Programmes to ensure professionalism and transparency.
- k. In case the specific additional expertise required for multidisciplinary/interdisciplinary research is not available within the University, there may be a Co-Supervisor appointed from recognized/approved external institutions provided the person so appointed meets the eligibility conditions for PhD supervision and has been duly empanelled by the University as per its Rules.
- l. The qualification/eligibility of Research Supervisor, empanelment procedure, limits of number of Scholars for guidance, sharing of guiding with the Co-Supervisor, duties/responsibilities of the Supervisor/Co-Supervisor etc shall be as per UGC Guidelines (where applicable) and as specifically stated in the CU Regulation/Guidelines pertaining to PhD.
- m. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8)/six (6)/four (4) PhD Scholars, respectively, at any given time.
- n. In the case of relocation of a female PhD Scholar due to marriage, or otherwise, the research data shall be allowed to be transferred to the Higher Education Institution to which the Scholar intends to relocate, provided all the conditions in the regulations are followed, and the research work does not pertain to a project sanctioned to the University/ Supervisor by a funding agency. Such Scholars shall however give due credit to the Supervisor and University for the part of research already undertaken.
- o. Each Supervisor can guide up to two international research Scholars on a supernumerary basis over and above the permitted number of PhD Scholars as specified in Clause 9 (l) above.
- p. At any point, the total number of PhD Scholars under a faculty shall not exceed the number prescribed in above clauses.

10. PhD Scholarship, Fellowship, and Financial Assistance

- a. The PhD Scholars (post completion of coursework) of the University shall be entitled for performance-based financial assistance in accordance with the University Financial Assistance Scheme' for PhD Scholars given as Annexure III hereto.
- b. The Scholars interested in availing the financial assistance shall apply for the same in the prescribed form as per the Scheme and on its approval the eligible amount of scholarship will be adjusted against the annual course fee payable. There shall be no cash payment of Scholarship.
- c. The full-time PhD Scholars of the University may also be awarded a Fellowship as per the University Scheme of JRF/SRF for PhD Scholars as given in Annexure IV hereto subject to their eligibility and selection under the Scheme.
- d. The Scholars who are awarded JRF/SRF/such other external fellowship shall not be entitled for the University doctoral fellowships.

11. PhD Thesis Process

- a. Upon satisfactory completion of the Coursework and obtaining the 'Course Completion Certificate' as per Clause 7(g), the candidate (Research Scholar) shall continue to carry out the research as per the approved Research Proposal under the guidance of the Supervisor.
- b. Prior to the commencement of the research work, the Research Scholar shall prepare a six-monthly work schedule with the help of the Supervisor.
- c. The Research Scholar in consultation with and approval of the Supervisor shall finalise the Research Proposal and title of the Thesis duly considering and reflecting the objectives and scope of the Research. This must be done within the first month of the allotment of the supervisor and be approved by the RAC by making a presentation. Any suggestions unanimously made by the RAC must be duly adopted. If RAC is not satisfied with the presentation, it may seek a repeat presentation within a month.
- d. Any change of the topic or major modification to the scope of study/ research design or research methods shall need the approval of the DC on the recommendation of the RAC based on presentation made to it by the Research Scholar
- e. No alteration in the PhD Thesis Title and /or its modification shall be permitted once it is approved by the DC except under exceptional circumstances with full justification for such change.
- f. Half yearly progress of research done shall be evaluated by the Supervisor and shall be presented to the RAC by the Research Scholar for its review and feedback. This requirement is mandatory.
- g. The Supervisor shall ensure that the Research Scholar is given or has access to the required research facilities including materials, machine or laboratory support, tools, software as may be needed for successful and timely completion of the research.
- h. The Research Scholar and the Supervisor shall ensure that the research work is done with due adherence to 'Annexure V: CU Regulation for Code of Research Conduct and Research Ethics' to the extent it may apply.
- i. There shall be at least two Doctoral Colloquia (yearly once) held within the duration of the PhD Programme. The Colloquia shall be organised at the instance of the Supervisor and in consultation with the Centre for Research/Department concerned as the case may be wherein the Research Scholars shall make a detailed presentation of their doctoral research work - its conceptual framework and progression - to an invited audience consisting of internal and external academicians, researchers and students. The Colloquia will have a discussion forum and the Research Scholars shall make use of the opportunity to enhance the value of their Research with inputs or suggestions that may be evolved by such discussion.
- j. The Research Scholar after due completion of the research shall produce a draft PhD Synopsis and Thesis thereof within the stipulated time limits but not earlier than two

years from completion of the coursework, duly complying with the requirements under this Regulation. Any extension of time in this regard shall be as provided in Clause 2 of this Regulation.

- k. The Research Scholar shall make a presentation of the PhD Thesis Synopsis before the RAC of the Centre for Research or of the Department concerned as the case may be, duly conducted for the purpose, which shall also be open to all faculty members of the discipline and other Research Scholars. The RAC may also invite an External Expert for the review of Synopsis Presentation. The feedback and comments obtained from all participants at the Synopsis Presentation may be suitably incorporated into the Draft Thesis in consultation with the Supervisor. Approval of PhD Thesis Synopsis by the RAC is a pre-requisite for submission of the PhD Thesis for Evaluation.
- l. The Research Scholar shall ensure that the PhD Thesis is not affected by plagiarism or any form of academic dishonesty. 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 and that the work has not been submitted for the award of any other degree/diploma of the University or to any other Institution.

12. PhD Thesis Submission

- a. Prior to submission of the PhD Thesis for evaluation, the Research Scholar must publish the outcomes of the PhD work at least in two (2) research papers in a Scopus/Web of Science or the refereed/indexed journal approved by the Centre for Research and make two paper presentations in national/international conferences/seminars/ symposia and produce evidence for the same in the form of presentation certificates and/or reprints. In place of one of the publications, a published/granted patent shall suffice.
- b. The Research Scholar must have complied with all the conditions specified under this Regulation, particularly of the PhD Thesis Process as contained in Clause 11 to be eligible for submission of the Thesis. There shall also be no arrears on account of fee payable.
- c. The PhD Thesis must be prepared in strict conformity to the format specifications and style specified by the University for the Cover Page as well as the Content as provided in 'Annexure VI: Common Guidelines for Format of PhD Thesis' as given in the RESEARCH section of CHRIST (Deemed to be University) website and must be submitted to the Centre for Research/Head of the Department as the case may be, in soft bound form, in three identical originals along with the specified Declaration, Undertaking and Certificate. In addition, the soft copy of the PhD Thesis must also be sent to the Centre for Research at research@christuniversity.in.
- d. No PhD Thesis shall be published in full prior to its final approval and completion of Viva-Voce Defense and without the approval of the University. The University may grant permission for publication with such conditions as it may impose.
- e. The PhD Thesis defended successfully shall be the property of the University.

13. PhD Thesis Evaluation

- a. The PhD thesis submitted by the Research Scholar shall be evaluated by the Research Supervisor and at least two external examiners from reputed Institutions, who are not in employment of the University of whom one examiner should be from outside the State of the location of the Campus/Off-Campus or the Country.
- b. The External Examiners will inter-alia examine whether the candidate has achieved the objectives mentioned in the PhD Thesis while preparing the Evaluation Report on the PhD Thesis as per the prescribed format. The Evaluation Report shall be sent directly to the Director of the Centre for Research.
- c. The public Viva-Voce of the Research Scholar to defend the PhD Thesis shall be conducted only if the Evaluation Reports of both External Examiners on the PhD Thesis are satisfactory and include specific recommendation for conducting the Viva-Voce Examination. If any one of the external evaluation reports is unsatisfactory and/or does

not recommend Viva-Voce, the University shall get the PhD Thesis evaluated by a third External Examiner out of the approved Panel Examiners and the Viva-Voce Examination shall be held only if the report of the third examiner is satisfactory. If the report of the third External Examiner is also unsatisfactory, the PhD Thesis shall be rejected and the Research Scholar shall be declared ineligible for Viva-Voce Examination and for the award of the PhD Degree.

- d. If the Examiners recommend corrections or revisions to the PhD Thesis submitted the Research Scholar will be obliged to incorporate the same in the Thesis in consultation with the Supervisor and only the updated version as so certified by the Supervisor shall be considered for Viva - Voce Examination.
- e. In exceptional circumstances any one External Examiner may seek re- submission of PhD Thesis for specific reasons and if it is so justifiable in the opinion of the RAC in its special meeting held for its consideration the Research Scholar will re-submit the PhD Thesis within a maximum period of 30 days. If the RAC feels that there is no justification for re-submission, the PhD Thesis will be sent for evaluation to a third External Examiner out of the approved panel of External Examiners. If the re-submission is requested by both the External Examiners the Research Scholar will re-submit the PhD Thesis in consultation with the Supervisor without need for review by RAC for re-submission. The process of re-submission /decision of RAC in this regard shall be coordinated by the Centre for Research.
- f. The External Examiners shall be chosen at random by the Vice Chancellor or his authorised nominee from the 'Panel of PhD Thesis External Examiners' submitted by the Supervisor to the Centre for Research. External Examiners cannot be invited from Campus/Off-Campuses of the University. The Vice Chancellor or his authorised nominee shall choose up to three Examiners marking the order of preference from each category (Category 1 and Category 2 and the Centre for Research shall forward the PhD Thesis to the selected Examiners, after seeking their acceptance, for its adjudication and Report as per the prescribed form. The service of the second preference Examiner shall be taken only when the first preference Examiner is not available or when reference to a third examiner is required under Sub- Clauses (c) or (e) above. External Examiners chosen shall be from reputed institutions of higher education, at Associate Professor level or above, with a proven record of supervising PhD Scholars and recent publications. Where the research topic is niche/in an emerging area and does not have sufficient experts who are Professors or Associate Professors, Assistant Professors may be considered in the Panel of PhD Thesis Examiners. Qualified scientists/researchers from reputed research organisations who are active in quality research can also be included in the panel.
- g. The External Examiners shall be asked to sign a Declaration that he/ she is not a relative of the Research Scholar or the Supervisor or the Co- Supervisor and that he/she has no conflict of interest in adjudicating/valuing the PhD Thesis. A faculty member who has resigned from the rolls of CHRIST (Deemed to be University) is not eligible to serve as an external examiner until three years have lapsed since resignation from the University.
- h. The External Examiner is normally given 30 days time to evaluate the PhD Thesis and to submit the Report which may be extended up to 45 days on specific request. If the Examiner fails to complete evaluation even after extension of time or fails to communicate on the evaluation status in spite of reasonable follow up, the External Examiner will be advised to return the PhD Thesis and the same will be sent to another External Examiner duly following the specified procedure as provide in Sub-Clause (f) above.
- i. The Centre for Research will be the coordinating body to complete timely evaluation of the PhD Thesis of all disciplines (including that of the PhD Programme directly conducted by the authorised Departments) and shall ensure that the evaluation process

is completed within a maximum period of 120 days from the date of submission of the PhD Thesis.

14. PhD Viva-Voce

- a. The Research Scholar whose PhD Thesis has been duly evaluated as per Clause 13 shall present for a public Viva-Voce Defense Examination organised by the Centre for Research/Department concerned as the case may be, with the assistance of the Research Supervisor/s. The Public defense will normally be held within 60 days from receipt of Report of Evaluation from all the Examiners.
- b. The Research Scholar shall submit four (4) copies in original of softbound PhD Thesis duly incorporating all the corrections/revisions suggested by the Examiners in consultation with the Supervisor and otherwise completed in all aspects (declarations/Certificates) as required by this Regulation at least 15 days prior to the Viva-Voce date.
- c. It shall be the responsibility of the Research Scholar to coordinate with the Centre for Research for timely communication about/invitation for the Viva-Voce to a large group of audience and to ensure essential convenience and facilitation for the visiting Examiners /Special Invitees.
- d. The Viva-Voce examination, based among other things, on the critiques given in the Evaluation Reports, shall be conducted by the Research Supervisor in the presence of at least one of the two External Examiners who evaluated the Thesis, all of whom together will constitute the Board of Examiners for the Viva-Voce. The Viva-Voce Examination shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department/s concerned, other Research Scholars and invited/interested experts/researchers.
- e. The Viva-Voce Examination shall be for a minimum duration of 60 Minutes including the question-answer session and may be conducted online, if required.
- f. The Research Scholar shall present the PhD Thesis before the Viva-Voce Examination Board in an open forum of audience and shall adequately respond to the PhD Thesis related queries raised or clarifications sought. The Board of Examiners based on the performance of the Research Scholar shall prepare jointly their Report on the proceedings with specific individual recommendation as per the prescribed format. The Viva-Voce Evaluation Report duly signed by all Examiners shall be sent to the Director of the Centre for Research with a copy (mandatory) to the Controller of Examinations.
- g. If the majority view of the Examiners is to have a repeat of the Viva-Voce for reasons and with such suggestions that may be specified, the Research Scholar shall appear again for the same on a future date which shall be held not later than 90 days from the first Viva-Voce. The Research Scholar in this regard shall be required to pay the specified Fee and to comply with the requirements stated in Sub-Clauses (b) and (c) above.

15. Notification and Award of the PhD Degree

- a. The Centre for Research will consolidate the Viva-Voce Report and present the same to the Controller of Examinations with recommendation for award of the Degree subject to favourable comments by the External Examiners.
- b. On fulfilment of the requirements for the award of the degree, the Controller of Examinations/the Registrar in coordination with the Centre for Research shall notify the award of the degree on the Official Letter Head of the University which will have details of (a) The name of the candidate, (b) the Discipline/Subject of the PhD. (c) the names of Research Supervisor and Co-Supervisor (if any) and (d) The Title of the PhD Thesis.
- c. Pursuant to the Notification and prior to the actual award of the Degree subject to ratification by the Academic Council/Board of Management, the University by the

Controller of Examination/the Registrar shall issue a Provisional Certificate to the Research Scholar in the specified format with a declaration that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2022.

- d. Prior to the issue of the Notification of award of PhD degree, an electronic copy of the Thesis shall be submitted to INFLIBNET through the University Librarian.
- e. Actual award of the Degree shall be in the subsequent official Convocation of the University as per the prescribed Rules.

16. Cancellation of PhD Registration

- a. The PhD Registration of the candidate shall be cancelled forthwith under any one or more of the following circumstances:
 - i. Unsatisfactory progress and failure to implement corrective measures suggested by the RAC. In such a case, the RAC may recommend, with specific reasons, the cancellation of the registration of the PhD Scholar from the programme.
 - ii. False declaration or fraudulent claims in respect of eligibility
 - iii. Non- payment of prescribed Fee within specified/extended time.
 - iv. Direct or indirect influencing in the appointment of Supervisor/s.
 - v. Non-completion of the coursework as prescribed.
 - vi. Indulging in unethical research practices or academic dishonesty, including plagiarism.
 - vii. Failure to comply with mandatory requirements under this Regulation.
 - viii. Failure to submit PhD Thesis for Evaluation within the specified/ extended time.
 - ix. Failure to appear for Viva-Voce Examination.
- b. Plagiarism is a serious academic offence and will be dealt with as guided by the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018. (UGC Regulation on Plagiarism) duly adopted by the University as ‘Regulation for the Promotion of Academic Integrity and Prevention of Plagiarism, 2019.’
- c. If the candidate is proved to be guilty of repeated offense of plagiarism at any time during the PhD Programme in respect of his/her PhD Research, not only will it lead to cancellation of Admission but also the candidate may be disqualified to apply in future for any PhD Programme of the University.
- d. If the PhD Thesis of the candidate is proved to be inflicted by plagiarism after award of the PhD, the University may decide to cancel and withdraw the Degree awarded by an Official Notification in which case the Supervisor/s concerned may be stripped of eligibility for continuation of existing supervision and/or to supervise in future the PhD Programme of the University.
- e. Any suo-motu observation by the University or its Examiners or by any complaint received from other sources about plagiarism concerning the PhD Research or the Thesis shall be examined by an Expert Committee appointed by the Vice Chancellor in accordance with the UGC Regulation on Plagiarism. The findings of the Committee shall be adjudicated and decided by the Vice Chancellor or his nominated Official in the presence of the candidate and the Supervisor/s concerned, and any decision taken shall be binding on the candidate and the Supervisor/s concerned with no appeal thereon.

17. Removal of Difficulty

- a. Any matter concerning the PhD Programme which is not specifically stated or provided for in this Regulation shall be referred to the Vice Chancellor or to the DC as may be approved by the Vice Chancellor whose direction /decision on such matters shall be duly documented and be made binding on all concerned.
- b. Any dispute or difference of views between the Candidate and the Supervisor or between the Supervisor and the Co-Supervisor with regard to the PhD Research shall be heard

and resolved by the Centre for Research without involving the interested parties in the decision making. If the matter is not resolved by the Centre for Research, it will be referred to the DC and the decision of the DC shall be final and binding.

18. Revision of Regulations

- a. The University may from time to time revise, amend or change its PhD Regulations depending on the directions it may receive from the UGC which may be prospective or retrospective.
- b. The University may from time to time revise the scheme of Examinations, the Syllabus for Coursework, the Thesis Evaluation procedure, the Viva-Voce procedure, the Fee Structure, the Scholarship/ Fellowship Scheme etc in respect of its PhD Programme which shall be normally prospective unless specified to have retrospective effect in respect of specific matters.

Approved: 3 December 2022

Notified: 5 December 2022

1st Amended: 25 January 2024

2nd Amended: 24 April 2024



(Dr Anil Joseph Pinto)
Registrar

The following Annexures are part of this Regulation

1. CU Regulation for Delegation of PhD Programme to Academic Departments 2018 (As Addendum to CU Regulation for the Degree of Doctor of Philosophy 2022)
2. Guidelines for Research Advisory Committee
3. Fellowship and Financial Assistance for PhD Scholars (December 2022 Cohort onwards)
4. CHRIST (Deemed to be University) Scheme of JRF/SRF for PhD Scholars Regulation for CHRIST (Deemed to be University) JRF/SRF Scheme
5. Regulation for Code of Research Conduct and Research Ethics

Annexure I:

**CU Regulation for Delegation of PhD Programme to Academic Departments
2018**

(As Addendum to CU Regulation for the Degree of Doctor of Philosophy 2022)

Policy:

CHRIST (Deemed to be University) endeavours to follow stringent quality norms in the conduct of its PhD Programmes in the matter of Course Conduct, Assessment of Research Progress and Evaluation and Acceptance of the Thesis for award of the Degree. The Regulation for the award of PhD Degree has been accordingly framed duly following the guidelines prescribed by the UGC. However, with a view to standardise quality compliance norms, the responsibility for the PhD Programme Conduct has been centralised and has been vested with the Centre for Research (PhD) headed by a Director who will be accountable for all Regulatory aspects of the Programme. Nevertheless with almost ten years of centralised PhD Course administration it is felt necessary to empower the competent academic departments to handle and administer the PhD Programmes directly with centralised support from a General Coordinator.

Regulation:

1. This Regulation shall be called 'CU Regulation for Delegation of PhD Programme to Academic Departments 2018' and shall be an addendum to the CU Doctoral Regulations 2022 and shall not be a standalone Regulation.
2. No Academic Department shall be permitted to directly conduct the PhD Programme unless the Department has sufficient number of duly approved PhD Supervisors with reasonable number of Publications to their credit. It shall be the responsibility of the Department to empanel their eligible faculty with the approval of the Doctoral Committee.
3. The Department/s has to be specifically authorised to conduct the PhD Programme by written approval of the Vice Chancellor subject to such conditions as may be imposed.
4. The Department/s authorised to directly conduct the PhD Programmes shall do so strictly in accordance with the CU Doctoral Regulations 2022 except that the Head of the Department and/or PhD Coordinator of the Department shall assume the role of Centre for Research (PhD). However, the Doctoral Committee for the time being shall continue to remain a centralised authority as specified in the CU Doctoral Regulations 2022 with suitable representation from the department concerned.
5. All admissions to PhD Programmes shall be administered by the Office of Admissions and the PhD Coordinator of the Department concerned must be responsible for organising the Entrance Test and Personal Interview in consultation with the Director, Admissions.
6. There shall be a General Coordinator nominated by the Director of the Centre for Research (PhD) to independently oversee the Regulatory and Quality compliance by the Department and shall be authorised to report on any deficiency in the conduct to the Vice Chancellor, after due discussion of such deficiency with the Head of the Department.
7. The Department shall be responsible for the proper conduct of the PhD course work in accordance with and as prescribed in the CU Doctoral Regulations 2022.
8. The Department shall ensure that the Supervisors assigned to the Ph.D Scholars do conduct their role and responsibilities according to the CU Doctoral Regulations 2022 and for the purpose shall have periodic interaction with the PhD Scholar as well as the Supervisor.
9. Strict adherence to periodic progress reporting to the Doctoral Committee and Synopsis Review by the designated Committee for approvals etc as specified in the CU Doctoral Regulations 2016 shall be the responsibility of the Department and any lapse in this regard as may be reported by the General Coordinator shall disqualify

the Department from continuing the Programme and in such case the Centre for Research shall take over.

10. This Regulation of 'CU Regulation for Delegation of PhD Programme to Academic Departments 2018' as Addendum to CU Doctoral Regulations 2016 and came into effect from the Academic Year 2018-19 and has been so approved by the Vice Chancellor. This Regulation shall continue under the CU Doctoral Regulations 2022

(Dr Anil Joseph Pinto)
Registrar

Annexure II

Guidelines for Research Advisory Committee

(Under Clause 9 of the CU Regulation for Delegation of Ph.D Programme to Academic Departments 2018 read with the Operational Procedures and Guidelines thereto)

1. Constitution of the Research Advisory Committee

- a) Every academic department offering PhD Programme shall constitute a Research Advisory Committee (RAC) for each of its PhD Scholars, who shall hold office till the completion of PhD by the Research Scholar concerned unless a vacancy of any member is caused by retirement or otherwise.
- b) The RAC shall consist of a minimum of three members - Supervisor, Co-Supervisor/Subject Expert and a Subject Expert. Supervisor shall convene and chair the RAC meetings. The Dean of the School, the HOD and the PhD Coordinator of the Department shall be the permanent invitees for the RAC meetings.
- c) The Subject Expert nominated to RAC must have adequate competence in the specific research domain with a reasonable number of Publications and must have post-doctoral teaching/research experience of at least three years.
- d) Nomination of the Subject Expert must, as far as possible, be from within the Department/University and shall be done by the HOD in consultation with the Supervisor and the Dean. Nomination of external Expert may be considered only in case of non-availability within and may be done with the approval of the Dean.
- e) Nomination of Subject Expert must be duly recorded and documented with the following details.

Name	Title	Department	Qualification	Exp (Yrs)	Publish (N

- f) Scholar-wise RAC details including the specified details about the Subject Expert must be furnished to the Centre for Research as soon as the same is constituted for the purpose of its records. Any change in the constitution of the RAC must also be informed to the Centre for Research duly mentioning the reasons for change.

2. Functions of the RAC

a. Review of the Syllabus for Elective Courses for Course Work

The RAC may suo motu suggest or shall review and comment on the prescribed syllabus for the domain based Elective Courses of coursework for the Programme to the Board of Studies of the Department for its consideration.

b. Initial Review and Approval of Research Proposal

RAC shall review the Research Proposal of the PhD Scholar based on a formal presentation of the same by the Research Scholar. RAC may suggest /advise for inclusions or deletions in the scope of study, on the research methodology, relevant literature review and such other significant areas as may be highlighted by the Research Supervisor. The Committee may approve the proposal subject to such conditions or directions it may impose, however it shall give due weightage to the viewpoints expressed by the Supervisor/Co-Supervisor and the Subject Expert.

c. Periodic Review of Research Progress

The RAC must meet periodically to review the Research Progress to be presented by the Research Scholar which shall not be at intervals of not more than 6 months. Any suggestion given by the RAC shall be duly noted and shall be checked for its inclusion/ consideration by the Research Scholar in his/her subsequent presentation. If there is any lapse in this regard the RAC may seek an immediate re-presentation.

d. Review and Approval of Final Synopsis

The RAC shall examine the Final Synopsis presentation by the Research Scholar with due regard to its objective, quality of research data and its analysis with reference to the conclusions and validations. Without the unanimous approval of RAC no Thesis shall be allowed for submission-or Evaluation.

e. Recommending Thesis Examiners

On approval of the Final Synopsis the Research Scholar shall complete the Thesis as per the prescribed norms and submit the same to the Head of the Department/ Supervisor.

The RAC shall consider the names of the proposed examiners that may be submitted by the Supervisor. The list of names as may be approved by the RAC along with the Thesis submitted by the Research Scholar shall be forwarded to the Centre for Research by the Head of the Department.

3. Meetings of RAC

The meetings of the RAC must be regularly held duly convened by the Supervisor. All the members of the RAC are expected to be present in all the meetings of the RAC.

(Dr Anil Joseph Pinto)
Registrar

Annexure III

Fellowship and Financial Assistance for PhD Scholars (December 2022 Cohort onwards)

Policy

CHRIST (Deemed to be University) shall award Financial Assistance (Research Fellowship, Contingency Allowance and Scholarship) to the full-time PhD Scholars of the University in accordance with the guidelines introduced from time to time pursuant to its PhD Regulations. The Financial Assistance is intended to motivate the eligible full-time PhD scholars to perform well.

Regulation for Financial Assistance Scheme

This 'Regulation for Financial Assistance' shall be part of PhD Regulations of the University and shall come into effect from the date of its Notification. The Regulation shall be applicable to PhD candidates admitted to the programmes from December 2022 cohort onwards. The Scheme shall be coordinated and administered by the Centre for Research (PhD) of the University in coordination with the Departments of the University.

A. Eligibility

The Scheme shall be open for all the full-time PhD scholars of the University subject to the following eligibility criteria.

1. The scholar must be pursuing a full-time PhD programme at the University.
2. The scholar must not be receiving any grant or research assistance, by whatever name called, from any other source.
3. The scholar must not be engaged in any part-time or full-time employment of any nature during the tenure of the fellowship.
4. The scholar must be present full-time at the University during the period of the fellowship on all working days of the University.

B. Duration of the Financial Assistance

The Research Fellowship is for the first three years (36 months) after the completion of six months of coursework (starts from 7th month of the coursework completion). Contingency allowance is for the first three years and Scholarship is for every year in the full-time mode.

C. Financial Assistance Details

Nature of Assistance	Year		
	1 st year	2 nd year	3 rd year
Monthly Research Fellowship*	Rs. 10000/-	Rs. 12,000/-	Rs. 12000/- to Rs. 15000/-
Contingency Allowance per Annum**	Rs. 10000/-	Rs. 10000/-	Rs. 10000/-
Scholarship	Rs. 20000/year		

*The students who publish or submit the acceptance of at least one article in Scopus/WOS journals shall be eligible for the third year research fellowship as Rs. 15000/- per month. Other scholars shall be paid only Rs. 12000/month till they produce the publication/acceptance proof.

** The contingency allowance shall be carried forward to the next year.

The scholar receiving the Financial Assistance, at the direction of and/or with the consent of the Supervisor and the Head of Department, shall assist the Department in its academic work, including tutorials, evaluation of the test papers, laboratory demonstration, invigilation duties, supervision of fieldwork, library activities such as group seminars and symposia, without hindering the progress of the research being pursued. The total amount of time to be spent on such academic activities shall not exceed six hours per week and a maximum of 192 hours per year. The hours exceeding 192 shall be remunerated as notified by the Centre for Research.

D. Payment of Fellowship

The payments shall be made to the personal bank account of the Scholar to be opened with the Christ University Branch of South Indian Bank in arrears at the end of each month. The Research Scholarship is distributed against the attendance rules applicable to employees of the University.

E. Application and Selection Process

PhD scholars interested in availing the benefits of the Scheme shall make an application in the prescribed format within such time limits as may be notified at the beginning of every academic year by the Centre for Research of the University. The selection of candidates for the Fellowship is done by the Committee constituted by the Director, Centre for Research. The PhD scholar shall have to submit the progress report signed by the supervisor, attendance in departmental research-related activities signed by the HOD, and the Annual Department assistance summary sheet signed by the HOD along with the application form.

F. Supervision and Progress Report

The PhD scholars who are recipients of the Fellowship under this Scheme (hereinafter referred to as 'Research Fellow') shall be absolutely governed by the PhD Regulations of the University for all matters including presentation of periodic Progress Reports like any other PhD Scholars in the matter of accountability and adherence to the instruction of the guiding Supervisor/s.

G. Code of Conduct/Obligations of Research Fellow

1. The Research Fellow in this scheme shall be bound by the General Code of Conduct applicable to all Staff of the University as specified in the Staff Handbook and must uphold the Vision, Mission and Core Values of the University in his/her work ethics. Any breach of this obligation shall be misconduct.
2. The Research Fellow must be a full-time PhD scholar and must subscribe to the regulations of the University with regular attendance. Research Fellow shall be allotted a dedicated personal email id by the University which should be the principal contact for all official communications. The attendance norms for the fellow shall be as applicable to the full-time faculty members of the University and shall be monitored by the Office of Personnel Relations.
3. The Research Fellow is not permitted to take any paid or unpaid assignment within or outside the University without written permission of the Centre for Research. Permission may be granted only in exceptional circumstances of adding value to the approved research programme and will be on such terms and conditions as may be

specified. If this norm is violated, fellowship shall be withdrawn from the subsequent month.

Annexure IV

CHRIST (Deemed to be University) Scheme of JRF/SRF for PhD Scholars Regulation for CHRIST (Deemed to be University) JRF/SRF Scheme

Policy

CHRIST (Deemed to be University) is founded on its Mission to be “a nurturing ground for an individual's holistic development to make an effective contribution to the society in a dynamic environment.” The University is deeply committed to uphold its Value Systems and strives hard to imbibe in its students the institutional Core Values of Moral Uprightness, Love of Fellow Beings and Social Responsibility apart from developing excellence in their academic pursuits. The Students as beneficiary stakeholders of the University are expected to conduct themselves in a worthy manner in due recognition of the prescribed Code of Conduct which shall include the General Code of Conduct, Code of Academic Integrity, the Code of Conduct for using the University Resources and Code of Conduct under University Regulations. The prescribed Code of Conduct shall be as provided in the Regulation for Student Code of Conduct, which shall be duly displayed in the website of the University as well as in the Student Handbook provided to all the students.

This Regulation for CHRIST (Deemed to be University) Junior/Senior Research Fellowship Scheme shall be part of PhD Regulations of the University and shall come in to effect from the date of its Notification. Continuing PhD Scholars of the University registered not earlier than 2015 shall be eligible for consideration of Senior Research Fellowship (SRF) under this Regulation. The Scheme shall be coordinated and administered by the Centre for Research (PhD) of the University in coordination with the Department concerned.

A. Eligibility

The Scheme shall be open for all PhD Scholars of the University subject to the following eligibility criteria:

1. The candidate must be pursuing full time PhD Programme at the University having successfully completed the coursework.
2. The Candidate should not be receiving any grant or research assistance by whatever name called from any other source including UGC.
3. The Candidate should not be engaged in any part-time or full-time employment of any nature during the entire tenure of Fellowship.
4. The candidate must be present full time at the University during the period of the fellowship.
5. Candidates who are UGC-NET and/or MPhil qualified will be preferred.
6. Candidates to be eligible for Senior Research Fellowship (SRF) shall satisfy the following additional criteria:
 - a. Adequate compliance of the requirements as specified in the PhD Regulations as certified by the PhD Supervisor.
 - b. No arrears in Fee Payment
 - c. Research has progressed without any extension of duration other than approved.
 - d. Not otherwise disqualified as per this Regulation.

B. Duration of Fellowship

The tenure of the JRF shall be for a period of 18 months commencing from the month after successful completion of the coursework. No extension of period shall be permitted unless under special circumstances as may be approved by the Centre for Research Projects on the recommendation of the PhD Supervisor subject to a maximum period of



6 months on such conditions as may be specified. The tenure of SRF shall be for a period of 18 months commencing from completion of the first half of the approved duration of the PhD Programme subject to satisfactory research progress during the completed period as may be assessed and approved by the certifying authority as herein stated. No extension of period shall be permitted unless under special circumstances as may be approved by the Centre for Research Projects on the recommendation of the PhD Supervisor subject to a maximum period of 6 months on such conditions as may be specified.

C. Fellowship Assistance

SN	Nature of Assistance	JRF		SRF	
		Sc./Engg	Others	Sc./Engg	Others
1	Monthly Fellowship (Rs)	20000	20000	25000	25000
2	Contingency Fund (Lumpsum for 18 months)(Rs)	18000	15000	23000	20000
3	HRA* @ 20% of the Monthly Fellowship (Rs)	4000	4000	5000	5000
4	Monthly Escort/Reader Assistance ** (Rs)	2000	2000	2000	2000

* Will apply where residential accommodation is not provided by the University.

**Will apply where the Scholar is differently abled as approved.

D. Payment of Fellowship and Contingency Fund

Payment of Fellowship _____ will be in arrears at the end of the month. The Contingency Fund shall be disbursed in two half yearly instalments. 50% of the permissible fund shall be paid in advance along with payment of the Fellowship for the first month and the balance 50% along with the payment of the Fellowship for the ninth month. However the Senior Research Fellowship due for the last two months of the tenure shall be effected only on successful completion of the PhD defence and acceptance of the final thesis by the Centre for Research. Prescribed claim form duly pre-acknowledged and duly recommended by the PhD Supervisor and endorsed by the Head of the Department and the Director of Centre for Research must be submitted every month to the Office of Accounts for all the aforesaid payments. The form must be prepared in triplicate, one copy to remain with the Supervisor and one copy with the Centre for Research. The payments will be made to the personal bank account of the Scholar to be opened with the Christ University Branch of South Indian Bank. The

Contingency Fund utilisation must be properly accounted for duly supported by vouchers including for the interest, if any, earned thereon.

E. Contingency Fund Utilisation

The utilisation of contingency fund is permissible only for the following purposes:

- a) Purchase of Books/Journals/Monographs etc related to the subject of research not available in any of the Christ University Libraries. However such purchases shall be routed through the Knowledge Centre of Christ University for specific utilisation for research by the Junior/Senior Research Fellow and shall remain the property of the University at all times.
- b) Photographic and other media material of relevance required for research
- c) Field work and Local Travel
- d) Computation and Analytical Charges for Consultants
- e) Re-Prints and Off Prints of relevant Research Papers
- f) Registration fee for attending Conferences/Seminars in India
- g) Any other specific research related requirement other than for Capital Goods and for foreign travel, subject to prior approval of the University

F. Application and Selection Process

PhD Scholars interested in availing the benefits of the Scheme shall make application in the prescribed format within such time limits as may be notified at the beginning of every academic year by the Centre for Research of the University. The selection of candidates for JRF/SRF shall be by a process of test/interview and shall follow the criteria matrix tabulated hereunder which shall be common for all disciplines

SN	Criteria	Weight (%)
1	Score in the Qualifying Examination (Postgraduation)	35
2	Score in PhD Entrance Examination of the University	5
3	*Pass in UGC-NET /MPhil Course Completion	10
4	Prior Research Publications (Excluding Project/MPhil related)	10
5	**JRF/SRF Test and Interview	40

Notes:

- a. Where UGC-NET and/or MPhil is not applicable for any specific discipline, the candidate will be awarded full weight for the criterion.
- b. Qualifying written test for JRF/SRF may be decided at the discretion of the Centre for Research depending upon number of applications received and where it deems it necessary to conduct a written examination for the purpose of selection.
- c. If there is written test it shall be for 50 Marks and Interview will be for 50 Marks. In the absence of Test the Interview will be for 100 Marks and will be assessed on the following criteria:



SN	Criteria	M.Marks*	Score
1	Aptitude for Advanced Research	15	
2	Knowledge of Research Methodology	30	
3	Subject Exposure and Readings with reference to PhD topic	30	
4	Logical Presentation Skills	15	
5	General Attitude and Behavioural Aspects	10	

* Maximum Marks will be 50% of the indicated where Test marks are considered.

Selection of candidates for JRF/SRF shall be based on the Ranking of the Candidates who have secured a total weight of not less than 60% and subject to maximum number of JRF/SRF Positions announced for the year. The Test/Interview process for SRF shall inter-alia consider the progress of Research during the completed period. All assessments for selection will expire on announcement of the results and any candidate who does not succeed in any year may need to apply fresh and undergo the applicable selection process.

All applications for JRF/SRF shall be submitted online along with such details and enclosures as may be specified. The selection for JRF shall take place in the month following the scheduled completion of the coursework and for SRF shall take place in the month following the scheduled completion of 18 months of PhD Research as stipulated in the doctoral regulations. The Selection Committee headed by the Director of Research (PhD) shall include the Head of the Department of the Discipline, The Dean, The Director of Research (Projects) and the PhD Supervisor. Successful candidates will be intimated of the selection and award of the fellowship and the information will also be published in the website of the University. The selected candidate will be issued the award letter in the prescribed format.

G. Supervision and Progress Report

The PhD Scholars who are recipients of the Fellowship under this Scheme (hereinafter referred to as Doctoral Fellow) shall be absolutely governed by the PhD Regulations of the University for All Matters including presentation of periodic Progress Reports like any other PhD Scholars in the matter of accountability and adherence to the instruction of the guiding Supervisor/s. The Supervisor will oversee the Scholar for performance and research progress including for administrative compliances of the requirements specified in Clause H herein.

H. Code of Conduct/Obligations of Junior/Senior Research Fellow

- a. The Doctoral Fellow in this scheme will be bound by the General Code of Conduct applicable to all Staff of the University as specified in the Staff Handbook and must

uphold the Vision, Mission and Core Values of the University in their work ethics. Any breach of this obligation shall be misconduct.

- b. The Doctoral Fellow must be a full time researcher and must subscribe to the regulations of the University with regular attendance. Doctoral fellow will be allotted a dedicated personal email ID by the University which should be the principal contact for all official communications. The attendance norms for the fellow will be as applicable to the full time faculty members of the University and the will be monitored by the Office of Personnel Relations.
 - c. The Doctoral Fellow is not permitted to take any paid or unpaid assignment within or outside the University without written permission of the University. Permission may be granted only in exceptional circumstances of adding value to the approved research programme and will be on such terms and conditions as may be specified.
 - d. The Doctoral Fellow shall administratively report to his/her PhD Supervisor and shall submit the Research Progress Report to the University in the prescribed format at such interval as may be specified.
 - e. The Doctoral Fellow will not be entitled for any leave other than on account of any specific emergency as may be approved by the PhD Supervisor and the Head of the Department. Such emergency leave shall not normally be permitted for more than 14 days in a year excluding public holidays. Any absence from work for attending duly approved Seminars or Conferences, Field work etc will be treated as 'on duty' provided such absence does not exceed 15 days in a year. Unauthorised absence from work will not be permitted as leave and will be a deemed misconduct. All leave details must be pre-informed to the Director of Research. The doctoral fellow will not be entitled for any Vacation applicable to University faculties.
 - f. Women Doctoral Fellow may additionally avail maternity leave (pre-natal or post-natal or in combination) of not exceeding 180 days in the entire duration of the PhD study with half rate of Fellowship and this may be considered as justifiable reason for extension of tenure of Fellowship under Clause B.
 - g. The Doctoral Fellow at the direction of and/or with the consent of the Supervisor and the Head of Department, shall assist the Department/ University (including its Centres) in its academic work, including tutorials, evaluation of the test papers, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia, without hindering the progress of research being pursued. The total amount of time to be spent on such academic activities shall not exceed eight hours of teaching or 12 hours of practicals/tutorial/teaching assistance/research assistance per week. No such assignment shall normally carry any remuneration and will exclude any co-curricular/extra-curricular activities of the Department.
 - h. The Doctoral Fellow may be issued with an Identity cum Smart Card as for students/faculty of the University which must be retained/carried by the JRF/SRF at all times during his/her tenure of research for verification by any of the Authorities of the University. The Card must be surrendered to the University on submission of the PhD Thesis.
 - i. The Identity cum Smart Card will entitle the Doctoral Fellow to have access to the Libraries/Knowledge Centre and online resources of the University and to borrow books, journals etc with privileges similar to other PhD Scholars of the University. Any unauthorised or improper use of the Card/Library Resources will be deemed misconduct.
- I. Cancellation of the Fellowship
The Fellowship is liable to be cancelled at any time in the following circumstances:
- a) The Doctoral Fellow directly or indirectly commits or becomes a party to any misconduct or is in breach of any of the obligations under this Regulation.
 - b) Non submission of periodic progress reports as specified.

- c) Failure to comply with the regulations stipulated for the conduct of doctoral research in the University.
- d) The Doctoral Fellow is involved in any Criminal Proceedings.
- e) The Doctoral Fellow has secured the Fellowship by mis-representation of any of the material information and/or by fraudulent act.
- f) The Doctoral Fellow avails or signs any contract for availing Fellowship/Financial Assistance or Grant from any third party sources.
- g) The Doctoral Fellow engages in any paid or unpaid assignment without expressed consent of the University.
- h) Wilful and continuing neglect of Research work or unsatisfactory progress in Research or unauthorised and/or prolonged absence from work.
- i) Wilful disobedience or indifference to the Supervisor.

Annexure V

Regulation for Code of Research Conduct and Research Ethics

Policy:

Christ University will follow internationally recognised Codes and Ethical Practices as **Minimum Standard in all its Research pursuits across all academic/professional disciplines. The Departments/ Schools/ Institutes/ Centres of the University may specify additional regulations in this regard if is so warranted by the discipline related conventions.** The University will respect the autonomy of researchers and will create and maintain an environment with adequate support systems to enable researchers to follow the ethical guidelines. The University will encourage publication of all material outputs of its Researchers irrespective of whether they support or contradict the Research expected outcome(s). There shall be adequate and effective mechanism set by the University to ensure regular check on the compliance of the prescribed Codes and Guidelines throughout the Research Process from the start till the delivery of its final output.

Regulations:

1. The entire research process at the University including the outputs thereof in the form of Publications, Research Reports (Minor and Major research projects, Monographs and Working Papers), Academic & Consultancy Research, Formal & Informal Research Programs and any such research initiatives will be covered under this Policy and Regulation which will apply to all approved Researchers at the University including but not limited to University Teachers, Staff, Students, Post Doctoral Fellows and Emeritus Fellows.
2. Externally funded Research Projects shall be additionally guided by specific instructions if any of the concerned funding agency so long as they do not contradict with the provisions contained in this Regulation.
3. Code of Research Conduct and the Research Ethics herein stated are inter-related and complementing to each other (may be overlapping as well) and hence must be applied carefully with due regard to the Research Problem. These are not administrative rules and therefore the conscience of researchers may be the best guide to ensure that conduct of research is not entirely left to the discretion of individual researchers while addressing the ethical dilemmas that may crop up.

4. Code of Research Conduct

- a) Everyone involved in research (Sponsors, Investigators, Associates, Assistants, Supervisors and any others generally referred to herein individually and collectively as 'Researchers') in the University owes a duty of accountability to society, to their profession, to the University, to all participants in the research and to its funding agencies. Hence no one shall embark on any Research Activity without acquiring adequate theoretical and practical knowledge about the process and conduct of Research.
- b) Researchers should undertake only such research that according to their understanding will be useful to society or for the furtherance of knowledge on the subject.

- c) Researchers must accept full responsibility for their research conduct and for the activities of all persons involved under their direction or supervision.
- d) Researchers must be honest and lawful in respect of their own actions in research and in their responses to the actions of other researchers. This applies to the whole range of research work, outputs and deliverables, including applying for funding, research design, generating and analysing data, publishing results, and acknowledging the direct and indirect contribution of colleagues, collaborators and others.
- e) Researchers must make all possible efforts to get and give adequate consideration to existing literature/knowledge and its relevance, and the alternatives available on the subject/ issue under the study. Sincere commitment to research in general and to the relevant subject in particular and readiness to acquire adequate knowledge, ability and skill for undertaking particular research are essential prerequisites in the conduct of Research
- f) Any Research must have a clearly defined objective and must be done meaningfully with full adherence to quality aspects. Research for research sake without creation of new knowledge or new dimension to existing knowledge will be considered unsatisfactory with reference to this Code.
- g) Researchers must ensure that the research is conducted in a suitable working environment with appropriate equipment and facilities; Care must be taken to safeguard the health and safety aspects and to follow the prescribed legal requirements.
- h) Researchers must encourage Peer Review as an essential part of every research endeavour and must take in to consideration all valid comments thereof at different stages of research process as may be deemed relevant and appropriate. However the Reviewer chosen must be able do the task objectively, impartially and constructively.
- i) Researchers must ensure integrity of financial management of the research project to provide the optimum value for the public or private funding agencies with appropriate quality standards, as well as the timely delivery of any scheduled tangible outcomes.
- j) Research data must be managed in accordance with standard practices and expectations of the particular discipline and in accordance with any privacy law.
- k) Researchers must ensure that all personal records of research progress, including authorised laboratory books, are maintained to the recommended or required standards, and that the falsification of results does not occur. Laboratory books must be signed and dated by the researcher, and signed off by the supervisor.
- l) Unless there are ethically and legally justified reasons for doing otherwise, Researchers must ensure that they have each study participant's explicit informed written consent to obtain, hold and use his/her personal information.
- m) Personal information pertinent to the research only should be collected and such information should be kept on record only for such time limits as warranted by the research requirements.

- n) Researchers must ensure confidentiality in order to achieve protection of intellectual property rights where appropriate and that dissemination of research findings are done with due regard to such requirements.
- o) All Research Data must be recorded in a durable form with appropriate references. All such Data must be retained intact for a period of at least seven years from the date of any publication which is based upon them. Data should be stored in their original form, i.e., tapes/discs, etc., and should not be deleted and reused, but kept securely as per approved procedure as may be prescribed by the Centre for Research of the University. These procedures must be made known to and complied by all the members of the Research Team.
- p) Access to retained data shall be normally made available only to the Research Team (Researchers) but may be shared with other Staff/Students with the approval of the concerned Regulatory Authority with such conditions as may be specified.
- q) Confidentiality provisions relating to publications may apply in circumstances where the University or the researcher has made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights. It is the obligation of the research leader to inform researchers as to whether confidentiality provisions apply and of researchers to enquire of their research leader whether there are any obligations with respect to these provisions.
- r) Researchers must adhere to the guidelines herein with reference to Sensitive Data, Confidentiality and Data Sharing contained in Para 8 and Intellectual Property Rights & Publications contained in Para 9 herein.
- s) Covert research (Research purpose or implication thereof is not declared to the research participants or subjects) may be undertaken when it may provide unique forms of evidence or where overt observation might alter the phenomenon being studied.
- t) Researchers must ensure that the participants are allowed to participate voluntarily without any fear or favour and absolutely free from coercion in an environment of least harm or risk to all living beings and to property.
- u) Researchers prior to commencement of Research must obtain approval of their Research Design by the prescribed Regulatory Authority under Para 7 herein. The Research Design shall contain such information as may be specified by the relevant Regulatory Authority.

5. **Research Ethics Guidelines**

The University is committed to follow good ethical practice, as a principle in itself and as a means to create public confidence in the research work of the University. The prescribed Regulatory Authority in this regard (Research Conduct & Ethics Committee – RCEC) will lay down specific Guidelines with reference to different disciplines of research duly reviewed from time to time in accordance with international practices and as guided by the Centre for Research of the University. Periodic review and approval of the Research Process for its conduct and ethical compliance by RCEC is mandatory and is done to ensure quality conduct and ethical propriety of the Research pursued at the University. General Guidelines for Research Ethics are as under:

- a) Research must not cause harm to the participants in particular and to people in general.
- b) Research should as far as possible make a positive contribution towards the welfare of people.
- c) Researchers have a right, as well as a responsibility, to refrain from undertaking or continue undertaking any research that contravenes ethical guidelines, violates the integrity of research and/or compromises their autonomy in research, including design methodology, analysis and interpretation of findings and publication. If they feel that their rights are being violated, or that the study is unethical, they should make all possible efforts at making corrections. In the event of failure of remedial measures they should exercise their right to terminate the study or to opt out of it.
- d) Research must respect and protect the rights and dignity of participants.
- e) The benefits and risks of research should be fairly distributed among people.
- f) All information and records provided by participants or obtained directly or indirectly on/about the participants are confidential. For revealing or sharing any information that may identify participants, permission of the participants is essential.
- g) All research must take adequate precautions towards minimizing and mitigating risks if any involved in the research process or in the delivery of its output.
- h) Research must not unnecessarily consume the time of participants or make them incur undue loss of resources and income. It should not expose them to risks due to participation in the research.
- i) Covert research must not be undertaken lightly or routinely. It is only justified if important issues are being addressed and if matters of social significance which cannot be uncovered in other ways are likely to be discovered.
- j) The relationship within the research team, including student and junior members, should be based on the principle of non-exploitation.
- k) Researchers have a responsibility towards the interests of those involved in or affected by their own work. They should make reasonable efforts to anticipate and to guard against possible misuse and undesirable or harmful consequences of research.
- l) Researchers should take reasonable corrective steps when they come across misuse or misrepresentation of their own work.
- m) Contribution of each member of the research team should be properly acknowledged.
- n) The conduct of research must be fair, honest and transparent. It is desirable that the researchers are amenable to social and financial review of their research.
- o) Researchers must ensure respect, protection and promotion of rights of participants. Criteria for the selection of participants of research should be fair, besides being scientific.
- p) Researchers should declare and manage any real or potential conflicts of interest.

- q) The principal researchers should delegate to the juniors, assistants, students and trainees only those responsibilities that they are reasonably capable of performing on the basis of their education, training or experience, either independently or under supervision.
- r) All members of the team on a research project have a right to know and document all aspects of research including ownership of the data. This will also apply to the participation of students doing their own research in a project team.

6. **Misconducts and Unethical Practices**

- a) Plagiarism, deception or the fabrication or falsification of results shall be regarded as research misconduct and a serious disciplinary offence.
- b) No researcher should engage, personally or professionally, in discriminatory, harmful or exploitative practices, or any perceived form of harassment. Nor should the researcher impose views/beliefs on or try to seek personal, sexual or economic gain from anybody, including other researchers, juniors, assistants, trainees and students.
- c) Researchers should not undertake secret or classified research, any secret assignment under the garb of research nor research whose findings are to be kept confidential.
- d) Researchers should make adequate efforts to make public in appropriate manner and form, and at appropriate time, information on the research undertaken, and the relevant results and implications of completed research having social impact. Failure on this count will be against acceptable ethical practice.
- e) Researchers should not impede the autonomy of participants by resorting to coercion, promise of unrealistic benefits or inducement or by any other means of exploitation.
- f) Participants should be informed about their right to decline participation outright, or to withdraw consent given at any stage of the research, without undesirable consequences, penalty and so on. The participants should be informed that they are free to object to and refuse to allow the use of data gathering devices, such as camera, tape recorder etc. Failure on this count will be against acceptable ethical practice.
- g) Dissemination of the results of research shall be done only after it has been peer-reviewed and/or published in recognised Journals.
- h) Non adherence to every applicable part of this Regulation regarding the Conduct and/ or Ethical Compliance, if not rectified suo motu or as per the direction of the concerned Regulatory Authority within reasonable time shall be deemed ipso facto a misconduct which may lead to stoppage or rejection of Research and the Researchers will be required to refund the Grants received if any from the University or from any external agencies.

7. **Regulatory Authorities**



a) The Regulatory Authorities of the University as tabled herein will be responsible for overseeing the quality conduct of Research at the University including adherence to the requirements of this Regulation.

Authority		Role & Powers	Composition	Chairperson
Research Approval Committee (RAC)	Academic Programs	Pre-Approval; The Powers will include Critically reviewing the Research objectives and scope, quality aspects, financial assessment and Design Correction;	Supervisor (Guide), Research Director (Academic), Independent Discipline Expert.	Research Director (Academic)
	Minor Research		Minor Research Coordinator (RDC) Independent Discipline Expert. Head of the Department	Head of the Department
	Major Research, Monographs, Working Papers Post Doctoral Research		Research Director (Projects), Independent Discipline Expert. Head of the Department	Research Director (Projects),
Research Conduct & Ethics Committee (RCEC)	Academic Programs	Yearly/periodical review of the Research Progress with special reference to adherence to code of conduct and ethics. The Committee may issue suggestions and directions for correction.	Director of Research, Research Director (Academic), Research Director (Projects), Two nominees of Senior Professors (Ph.D) including one from the discipline	Director of Research
	Minor Research			
	Major Research, Monographs, Working Papers			

	Post Doctoral Research			
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- b) The Regulatory Authority concerned will record and document the proceedings of its review.
- c) The RCEC may delegate the review of research that poses minimal risk to human participants to research committees at departmental or deanery level. Guidelines as to what form of research poses risk to human participants can be obtained from the Centre for Research of the University.
- d) The Regulatory Authority will have powers to stop the Research if its directions are not acted upon by the Researchers.

8. Sensitive Data, Confidentiality and Data Sharing

- a) Sensitive information or data which are normally private or classified in nature must be used with care and should not be disclosed or disseminated without appropriate authorization of the participants.
- b) The term 'sensitive' is descriptive and not an official classification and hence may fit in to various classifications depending on legal requirements and usage.
- c) Personal information of individual participants obtained for the purpose of or as a result of research is to be considered confidential and disclosure to third parties is prohibited with the exception of statutory notification as applicable to the particular research. Participant confidentiality should be ensured by utilising identification code numbers to correspond to research data in any research paperwork and computer files.
- d) The University values free exchange of timely and accurate information while fully appreciating privacy and confidentiality requirements. Sharing of data should be done in a form, which is in consonance with the interests and rights of the participants.
- e) There shall apply proper distinction between Public Data (Information available in Public Domain which does not impose any confidentiality restrictions) and Private Data (Information which are of restricted access). Private Data will include personal data about and by the individual including unpublished research data. Researchers using personal data in research have a duty to maintain confidentiality and protection of authorship rights, in the interest of the individuals concerned.
- f) Data security arrangements (for storage, retention and accessibility) must be sufficient to prevent unauthorised breaches of confidentiality;
- g) All information and records provided by participants or obtained directly or indirectly on/about the participants are confidential. For revealing or sharing any information that may identify participants, permission of the participants is essential.
- h) Data, in the form of anonymous or abstracted facts that do not identify participants and / or their whereabouts may be commonly shared, among the researchers, peer reviewers, or may even be made available to the Public.
- i) The University encourages its researchers to make all research papers (including journal articles, conference proceedings, book chapters and similar material), where copyright allows, should be made available in an open access form upon publication and deposited in the University repository.
- j) Researchers should avoid dissemination of the results of research before they are peer-reviewed or published in appropriate journals.
- k) When Research results are disseminated through the popular media, extra care should be taken to ensure that even those media persons not specifically trained in the subject matter of Research are able to comprehend the limitations and implications of

research results to enable the media to handle research results truthfully and honestly.

- l) Researchers must facilitate to take back relevant summary findings of the research to the research participants in a form and in understandable manner duly safeguarding against potential social harm such information may cause on them.
- m) Data Sharing will include legally required dissemination of information under the RTI Act or uploading of Doctoral Research Report in the depository of UGC and such other requirements for which Researchers must enable the University to carry out such compliances.

9. Intellectual Property Rights and Publications

- a) Intellectual Property including potential Patents and Copyrights generated by approved Researchers at the University will belong to the University unless there is an agreement to the contrary. Approved Researchers will include all those who are employed by or associated with the University on a research relationship either as part of their normal duties or on assigned responsibility.
- b) Given that the University delivers varied undergraduate , postgraduate and research programmes the most likely types of intellectual property to be created include theses, dissertations, cognate essays, research papers, books, poems, plays, scripts, essays, articles, dictionaries, maps, lyrics, musical scores, paintings, photographs, films, videos, tapes, computer software, databases, records, tapes, cassettes, educational materials, web based materials and inventions (new kinds of technology).
- c) Intellectual Property to be recognised by law, must satisfy three criteria:
 - (i) It must be an original creation.
 - (ii) It must be a specific expression of an idea, not the idea itself and
 - (iii) It must be fixed in a physical form.Ownership rests initially with the creator of the work, unless the creator has been employed by the University to create a work in which case the copyright rests with the University.
- d) If the research work involving intellectual property is likely to have potential for commercialisation, it is required that there has to be properly written agreements governing the sharing of financial returns with due consideration to the contribution of individual researchers in the research deliverables.
- e) The interests of the funding agencies and its' binding agreements shall be duly recognised while determining the value sharing of Intellectual Property Rights.
- f) For the purpose of this Regulation publications will include all reports, articles and other such knowledge material relating to Research or on general subject areas in printed and electronic form by the Researchers or any other person associated with the University whether it is funded (internally or externally) or non-funded.
- g) Reporting of research and its results is the right as well as duty of every researcher and the institution that conducted the study. This responsibility may be delegated to funding agencies or sponsors or to any other individual/organisation subject to a mutually agreed written commitment to publish /disseminate the results / report on a stipulated time frame.
- h) Researchers should take advantage of opportunities available, to publish their work in an open access form offered by journal publishers, and may make use of research grants and other funds, in order to pay open access publication fees.
- i) Researchers are encouraged to disseminate their research and research findings in an appropriate form, usually as papers in refereed journals. Publication and wider dissemination of research and research findings must be carried out responsibly and with an awareness of the consequences of dissemination in the wider media. The following guidelines will generally apply in this regard.

- (i) A publication must contain appropriate reference to the contributions made by all participants in the relevant research.
- (ii) Authorship of the publication and its sequence in case of more than one author, should be based on the quantum of contribution made in terms of ideas, conceptualisation, actual performance of the research, analysis and writing of the report or any publication based on the research. Status of the individual should not bias the sequence of authorship.
- (iii) All other individuals not satisfying the criteria for authorship but have made contribution for the completion of the research or publication should be properly acknowledged. Appropriate credits should be given where data or information from other studies or publications is quoted or otherwise included.
- (iv) A student should be listed as principal or first author on any multiple authored publication that substantially derives from the student's dissertation or thesis.
- (v) A publication which is substantially similar to other publications derived from the same research must contain appropriate reference to the other publications.
- (vi) A researcher who submits substantially similar work to more than one other publisher should disclose that fact to the publishers at the time of submission.
- (vii) Publication and dissemination of work electronically or on the Web should be treated with the same degree of integrity as every other form of publication.
- (viii) Publication should not directly or indirectly identify individual research participants. Measures should be taken to disguise the identity of research subjects unless explicit consent is given by them for revealing their identity.
- (ix) Researchers should also disclose in their publications, the source(s) of funding and sponsors, if any, unless there is a compelling reason not to do so. The findings should also explain the methodology used, as well as how, in actual practice the ethical guidelines were followed, ethical dilemmas encountered and resolved.
- (x) The research funder should be notified in advance when research might be published, publicised or disseminated.
- (xi) The University encourages its researchers to make available all research papers (including journal articles, conference proceedings, book chapters and similar material), where copyright permits, in an open access form upon publication and deposited in the University repository to ensure their easy availability and accessibility.
- (xii) All publications, including related external communications, whether through websites, e-bulletins, press releases, media briefings, or events should be undertaken with the core principles of openness, transparency and accountability.

10. Clarifications and Resolution of Conflicts

- a) Any clarification, interpretation, advice or direction on any of the provisions contained in this Regulation shall be referred to the Centre for Research of the University.
- b) In case of any conflict among the Researchers it may be referred for its resolution to the Centre for Research of the University whose orders will be final and binding.
- c) In case of any conflict between the Researchers and the Centre for Research it may be referred for resolution to the Director of Research whose orders will be final and binding.
- d) Appeal against the findings or directions of the Regulatory Authorities or Director of Research may be referred to the Vice Chancellor who may at his

discretion hear the case either directly or may refer it to the Registrar to study and report. The Order issued by the Vice Chancellor in this regard shall be binding on all parties and there shall be no further appeal.