



CHRIST
(DEEMED TO BE UNIVERSITY)
BANGALORE · INDIA

CHRIST RESEARCH PROMOTION POLICY



2016

**2021
(UPDATED)**



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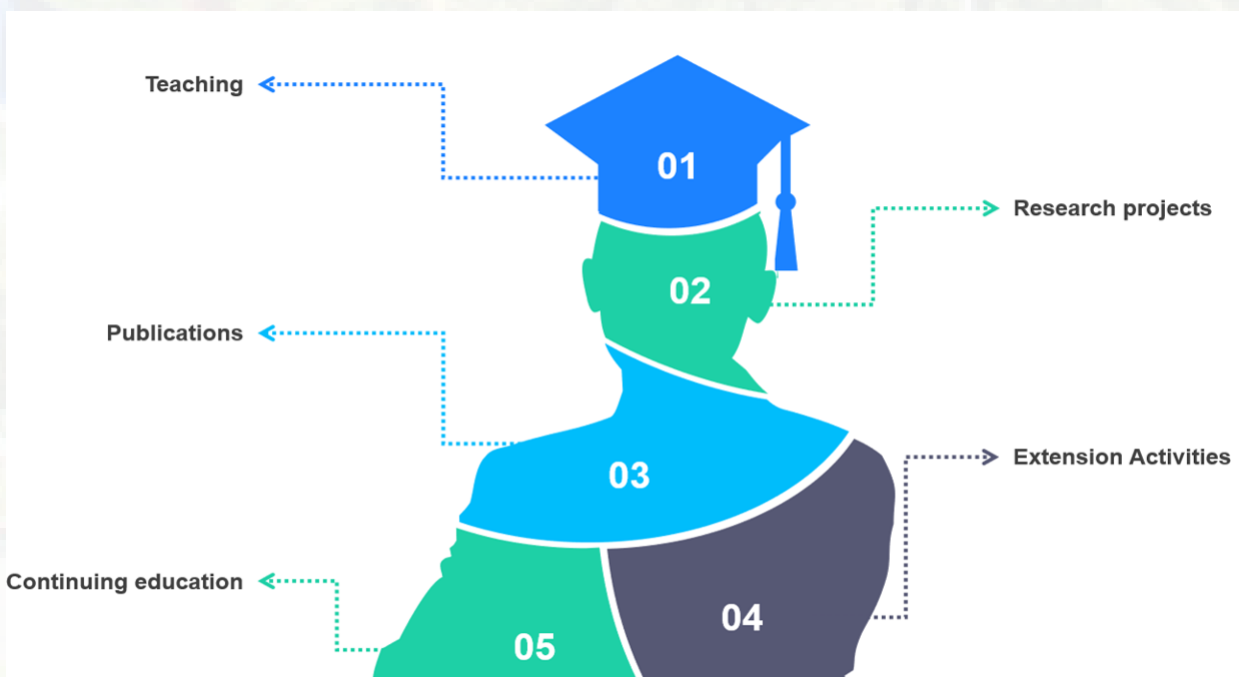
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Research Promotion Policy

Introduction

CHRIST (Deemed to be University) is dedicated to research as a source of new knowledge and social development in line with its Vision, Mission and Core Values of “Social Responsibility” and “Pursuit of Excellence”. The University shall promote vibrant research culture at all its campuses among its students and faculty, thereby being a nurturing ground for innovative ideas and applications.

The university shall embed research in the curriculum and offer advanced research facilities to facilitate quality research. The University will also promote collaborative and interdisciplinary research among the students, and faculty with other institutions, organisations and industries. The research and development facilities shall be regularly maintained and scaled up to facilitate current research trends in knowledge acquisition, methodologies, and technical advancements.



The well-established research promotion policy is to reassure the faculty and students to contribute to research and development on priority facets of society and mankind.

The academic research at university in development and allied fields shall yield a plethora of evidence-based knowledge that will prove important to society and organisations.

The policy will serve as a larger framework within which all research activities are conceived and implemented.



Recognition of Scientific and Industrial Research Organizations (SIROs)

CHRIST (Deemed to be University) is recognized as a Scientific and Industrial Research Organization (SIRO) by the Department of Scientific and Industrial Research (DISR), Government of India and u/s 35 of the Income Tax Act. The renewal of the recognition is from 01.04.2021 to 31.03.2024.

Implementation

The research promotion policy will be guided by the Research Advisory Board (RAB) chaired by the Vice Chancellor. Under the guidance of the Vice Chancellor and the Research Advisory Board, the Centre for Research ensures that various research-related regulations are adhered to by all units of the University.

The implementation of the policy shall be carried out by the Centre for Research and Centre for Research Projects.

Centre for Research

Doctoral Programmes

Post Doctoral Programmes

Post Graduate Diploma in Research

Centre for Research Projects

Seed Money Scheme

External Funded Projects

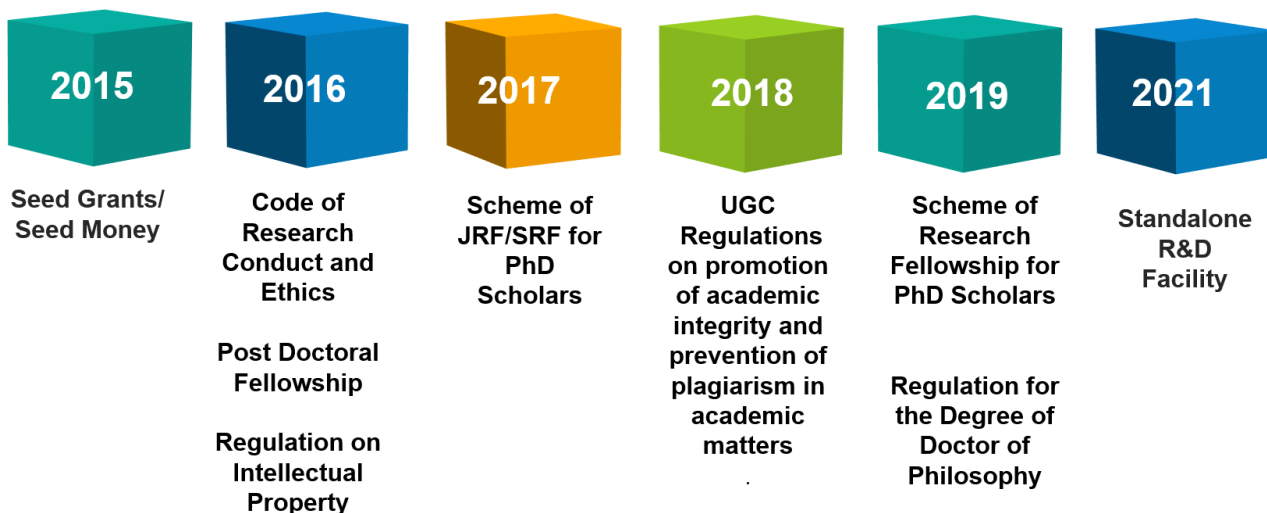
Administrative support & training on project proposal writing



Regulations and Schemes

The University's research and development enabling environment shall provide the necessary assistance for all faculty members, students, and staff to aspire to transform society.

Research Promotion Regulations and Schemes



Centres and Cells

University centres shall strongly emphasise research and development strategies that lead to long-term solutions to societal complications.

Centre for Advanced Research and Training
Advanced research and training hub in which research capacity building is through training and research advancement by carrying out cutting edge research studies.

Centre for Publications

Bring out journals, books, working papers, reports, conference proceedings, textbooks, monographs, translations and case studies, in print and digital media to promote knowledge dissemination and production.

Centre for Social Research

Conduct social science researches, projects and evaluation studies.

Intellectual Property Rights Cell

Enable Patents / Copyright searches, guide inventors in respect of patenting their inventions, setup IP Cell at Universities and Engineering Colleges, and promote a better understanding of IPR.

Centre for Digital Innovation

Innovate and provide research oriented digital solutions, offering mobile ERP solutions, research support to different industry organizations, in the fields of marketing, technology, finance, and business strategy.

Christ-Labournet Academic Research Endeavour

Aims at advancing practice-oriented research directed towards LabourNet's vision of training 10 lakh people by 2022. It operates beyond the scope of disciplinary boundaries of business, economics or sociology.



Seed Money Scheme

The Seed Money Scheme is designed to stimulate competitive research in strategic areas of national or international importance, promote innovative product and technology development, and/or facilitate the start of research programmes that shall potentially develop into creative ventures on their own through external funding.

The scheme shall award Seed grants under the following categories:

01

Grants shall be awarded with a maximum grant of Rs 1 lakh

02

Grants shall be awarded with a maximum grant of Rs 3 lakhs

03

Grants shall be awarded with a maximum grant of Rs 5 lakhs

04

To encourage collaborative research, if two or more faculty members submit a joint proposal, the grant limit will be Rs 20 lakhs

Objectives

- To aid faculty members to start research programmes that have the potential to sustain by attracting funds from external agencies.
- To test a novel idea and generate preliminary results before submitting proposals to external agencies.
- To promote inter-faculty collaboration in emerging areas.
- To promote the generation of IPR and product/process development.
- To attract and retain talent.



Other research promotion activities

Financial Incentive for research publications

Faculty members are encouraged to publish research work in reputed journals and are considered for financial incentives. Publication incentive is applicable only to publications in the journals approved by the University. A maximum of four publications of a faculty in a year shall be eligible for financial incentive.

Financial support for presenting papers in seminars and conferences

Teachers attending and presenting papers in conferences, with the approval of the University, may be sanctioned financial assistance from the University towards traveling expenses (limited to II Class Train fare) and Registration fee to the extent of Rs 2,000/- or a higher amount as approved by the University, once in a semester. The University offers 'Special casual leave' facility to the extent of 8 days apart from the 'On Official Duty (OOD).

Financial Support to Faculty Members for attending training programmes

Teachers attending training programmes, with the approval of the University, may be sanctioned financial assistance from the University to the extent of half of the registration/training fee, limited to Rs 10,000/- or a higher amount as approved by the University, if the programme is directly related to the new topics in the syllabus to be taught by the teacher.

Financial Support to Faculty Members pursuing Higher Studies

Encourage faculty members to pursue independent doctoral research to enrich their academic specializations, and in turn to enhance the quality of education to the taught.

Anti plagiarism software

To support academic integrity and discourage plagiarism, the university has subscribed to anti plagiarism software and made it accessible to all faculty and students through the office of the Library.

Publication of research articles

The University mandates publication of research articles by the faculty in journals that are indexed in reputed databases such as Scopus, and Web of Sciences. A part of the publication fee is reimbursed based on the journal quality.

Subscription of popular databases

The University has subscribed some of the popular databases that have a rich collection of resources. The University has a policy to update the library resource continuously and frequently based on the request from the departments/schools/deaneries. In order to support the faculty to access library resources remotely, the University provides a Knimbus facility. Accordingly the faculty members can access the online library resources even outside the University Campus.

Support, infrastructure and trainings

The University encourages its faculty members to apply for the research funding from governmental institutions, industry and nonprofit foundations. Support, infrastructure and training for organizing the application and managing the grants has been set up by the Centre for Research Projects in the form of an exclusive office with a Co-ordinator of research projects who reports to the Director, Centre for Research.

Regular training programmes are conducted by the Centre for Research on various areas of research and publication. Monthly training programmes, such as publication webinars are conducted on identifying appropriate journals for publication, Book publishing, different types of publishing avenues such as writing editorials, research notes etc. It is mandatory for all the faculty to attend this programme. Half yearly training programmes are conducted for the research supervisors on

- (1) Ethics
- (2) Referencing Styles
- (3) Supervisory styles

The University provides financial support to attend conferences/workshops and towards membership fee of professional bodies.

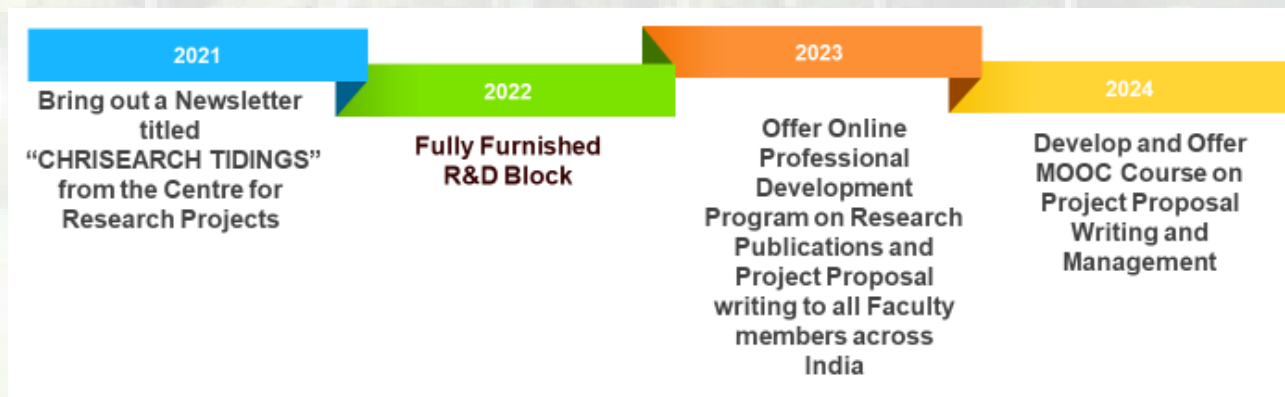


Centre for Advanced Research and Development

A separate centre shall be established to augment its research capabilities with a central facility of sophisticated instruments such as Raman Spectrometer, Scanning Electron Microscope, X-ray Diffractometer and Optical Profilometer.

A radio astronomy lab and a dedicated computation facility shall train students in radio astronomy research.

Upcoming Initiatives





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RESEARCH PROMOTION POLICY

Policy

CHRIST (Deemed to be University) is committed to research as the cornerstone of knowledge creation and social development, in line with its Vision, Mission, and Core Values of 'Social Responsibility' and 'Pursuit of Excellence'. The University shall promote a vibrant research culture at all its campuses among its students and faculty thereby being a nurturing ground for innovative ideas and applications. In order to facilitate quality research the University shall embed research in curriculum as well as offer advanced research facilities. The University will also promote collaborative and interdisciplinary research among the students, faculty and with other institutions, organisations and industry.

Implementation

The implementation of the policy will be carried out by the Centre for Research. The Research policy will be guided by the Research Advisory Board (RAB) chaired by the Vice Chancellor. The RAB will advise the University on all research matters.

The Centre for Research is divided into two wings. The Centre for Research (Academics) and the Centre for Research (Projects). The Centre for Research (Academics) oversees the quality standards and conduct of the Doctoral Programmes, Post Doctoral Programmes and the Post Graduate Diploma in Research. It also advises school Deans on quality standards to be entertained. The Centre for Research (Projects) provides support and resources to apply for Externally funded research grants, and also supports promotion of research among early career faculty through research promotion incentives.

The Centre for Research under the guidance of the Vice Chancellor and the RAB ensures the various research related regulations are adhered to by all units of the University.

Research Promotion Regulations and Schemes

- Seed Grant/Seed Money, 2015
- Code of Research Conduct and Ethics - May 13, 2016
- Post-Doctoral Fellowship - 19 December, 2016
- Christ University Bengaluru Regulation on Intellectual Property, 2016
- Scheme of JRF/SRF for PhD Scholars - May 2017
- UGC Regulations on Promotion of Academic Integrity and Prevention of Plagiarism in academic Matters, 2018 (Adopted)
- Scheme of Research Fellowship for PhD Scholars- May 2019
- Regulation for the Degree of Doctor of Philosophy May 2019
- Seed Money Scheme 2021

Cells and Centres created to promote research related activities

- Centre for Advanced Research and Training (<https://christuniversity.in/center/C/CART>)
- Centre for Publications (<https://christuniversity.in/center/C/Centre-for-Publications>)
- Centre for Social research (<https://christuniversity.in/center/C/CSR>)
- Intellectual Property Rights Cell (<https://christuniversity.in/center/O/IPRC>)
- Centre for Digital Innovation (<https://christuniversity.in/center/C/CDI>)
- Christ-Labournet Academic Research Endeavour (<https://christuniversity.in/center/C/CLARE>)

Research Promotion Activities

1. The University encourages its faculty members to attend and present papers in conferences

- conducted within and outside the country.
2. The University provides the following facilities: For conferences held within the country, the fee for attending or presenting papers is completely reimbursed and the University offers 'Special casual leave' facility to the extent of 8 days apart from the 'On Official Duty (OOD)'.
 3. The University mandates publication of research articles by the faculty in journals that are indexed in reputed databases such as Scopus, and Web of Sciences. A part of the publication fee is reimbursed based on the journal quality. Quality publications are a part of the faculty appraisal process.
 4. The University has subscribed to some of the popular databases that have a rich collection of resources. The University has a policy to update the library resource continuously and frequently based on the request from the departments/schools/deaneries.
 5. In order to support the faculty to access library resources remotely, the University provides a Knimbus facility. Accordingly the faculty members can access the online library resources even outside the University Campus.
 6. Currently, the University has subscribed to 15 E-Databases. Additionally, the University has subscribed to 10 E-Journals and 13 E-Books databases. Other prominent databases that are rich in secondary data such as IndiaStat and OECD library were also added. The library also has a rich collection of magazines, bibliography, theses and dissertations.
 7. The University encourages its faculty members to apply for the research funding from governmental institutions, industry and non-profit foundations. Support, infrastructure and training for organizing the application and managing the grants has been set up by the Centre for Research (Projects) in the form of an exclusive office with a coordinator of research projects who reports to the Director, Centre for Research.
 8. Regular training programmes are conducted by the Centre for Research on various areas of research and publication. Monthly training programmes, such as publication webinars are conducted on identifying appropriate journals for publication, Book publishing, different types of publishing avenues such as writing editorials, research notes etc. It is mandatory for all the faculty to attend this programme. Half yearly training programmes are conducted for the research supervisors on 1) Ethics 2) Referencing Styles 3) Supervisory styles. Training is also conducted based on the specific requirements of the disciplines. Departments are also encouraged to conduct Faculty Development programmes on research methods, tools and other areas that are significant for their disciplines.
 9. Research informed teaching, Journal Clubs, Research Seminars and Research Poster Presentations and, Undergraduate and Postgraduate Research Manuscript preparation is now encouraged in all Undergraduate and Postgraduate programmes of the University.
 10. To support academic integrity and discourage plagiarism, the university has subscribed to anti plagiarism software and made it accessible to all faculty and students through the office of the Library.



(Dr Anil Joseph Pinto)
Registrar



Registrar
CHRIST (Deemed to be University)
Bengaluru - 560 029

CHRIST UNIVERSITY
Bengaluru

Code of Research Conduct and 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

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			

- 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 & Publications

- a) Intellectual Property including potential Patents and Copy Rights 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.

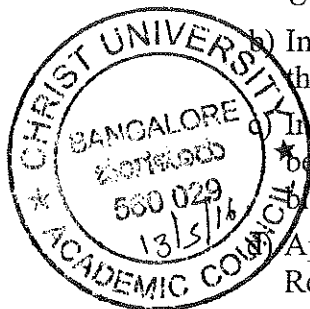
Clarifications and Resolution of Conflicts

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.





Post Doctoral Fellowship Scheme

Preamble

Christ University, a Deemed to be University under Section 3 of the UGC Act 1956, is determined to promote Research and its Centre for Research established in 2010 has completed several Major Research Projects. In order to initiate and encourage continuing research among young research scholars, to pursue advanced research in their area of specialisation Christ University will have a scheme for award of Post Doctoral Fellowship to eligible PhD Degree holders duly guided by University Grants Commission (UGC) Guidelines in this regard.

Policy

Christ University will award Post Doctoral Fellowship (PDF) to selected Research Scholars in accordance with its Regulation in this regard. The objective of this award is to provide an opportunity to scholars to carry out advanced studies and research in the fields of Sciences, Engineering, Humanities, Social Sciences, Commerce, Management, Law and Education. The Fellowship will be extended to successful candidates selected by a Selection Committee in consultation with the Departments of relevant discipline on the basis of prescribed selection criteria. Departments may announce every year the number vacancies for the position of Post Doctoral Fellow and the procedure of selection process. The Fellowship assistance may vary depending on the Research Discipline and will be normally for a period of two years and extendable up to three years. In exceptional cases, the Fellowship tenure may be permitted up to five years depending on the nature of the Research Project.

A Post Doctoral Fellow is an individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training. PDF awarded by Christ University will not lead to any Degree.

Regulation for Postdoctoral Fellowship Scheme

Christ University Post Doctoral Fellowship Scheme is intended to provide opportunity to young research scholars to continue with fulltime active research in their respective field of specialization or a related new field or an interdisciplinary field. During the fellowship period, the fellow shall be working under a Supervisor. The Scheme shall be coordinated and administered by the Centre for Research (PhD) of the University in coordination with the Department concerned.

A. Target Group / Eligibility

Research Scholars who have completed their PhD or those who have completed their public defence awaiting award of the Degree, with recognised research publications to their credit.

1. The candidate must have a doctorate degree in the relevant subject from Universities/Institutions recognised by UGC/Association of India Universities (AIU), with published research work to their credit. Not more than five years must have lapsed after award of the doctorate.
2. The candidate should have secured a minimum of 55% marks (or equivalent Grade) at UG level and 60% marks (or equivalent Grade) in PG level. In exceptional case of substantial

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 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 Post Doctoral 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

The selection and appointment of the Post Doctoral Fellow will be based on the available vacancy in the Department/s associated with a funded research project, as may be announced every year in the website of the University. The Centre for Research in consultation with the concerned will indicate the available/suggested areas of Research. Applications Department online will be invited generally during the months of March and September for the Post Doctoral Research Fellowship to commence from the months of June and December of the following / ongoing academic year. However Post Doctoral Fellow may also be appointed to do independent research on specified areas if so recommended by the Department concerned or by the Centre for Research of the University. All applications will be online and must be submitted within the specified time limits along with such details and enclosures as may be specified. The Selection will be based on personal interview by the Selection Committee. The Committee will make its recommendation on the basis of curriculum vitae, quality of publications, interview, presentation and such other credentials of the candidate. Successful candidates will be intimated of the selection and the joining date individually. The information will also be posted in the website of the University. No TA/DA will be payable for attending the personal interview. The selected candidate will be issued letter of appointment as Post Doctoral Fellow in the prescribed format. The Selection Committee may be constituted by the Centre for Research and will include the Head of the Department (HOD), the Dean of the Faculty, the nominee Supervisor and the Director of the Centre for Research.

G. Supervision and Progress Report

The Post Doctoral Fellow (PDF) and his/her research project shall be mentored by a Supervisor identified by the Department and approved by the Centre for Research. The Supervisor shall be a permanent faculty member of the Department and shall have research experience in the project related disciplines. The Supervisor will oversee the PDF in all his/her work performance and progress of research including for administrative compliances. The PDF will be required to submit a Progress Report in the prescribed format and make a presentation either half-yearly or annually as may be decided by the Supervisor in consultation with the Director of Centre for Research. Copy of the Progress Report with the comments of the Supervisor and the HOD must be sent to the Centre for Research. On satisfactory completion of the Research and subject to its due assessment and/or publications, the Scholar will be awarded the Certificate of Post Doctoral Research indicating the specific title of the research project. All Research findings and



I. Cancellation of the Appointment / Fellowship

The appointment of PDF and the Fellowship liable to be cancelled at any time in the following circumstances:

- a. The PDF directly or indirectly commits or becomes a party to any misconduct or is in breach of any of the obligations under this Regulation.
 - b. The PDF is involved in any Criminal Proceedings.
 - c. The PDF has secured the appointment by mis-representation of any of the material information and/or by fraudulent act.
 - d. Wilful and continuing neglect of Research work or unsatisfactory progress in Research or unauthorised and prolonged absence from work.
 - e. Wilful disobedience of or indifference to the Supervisor.
 - f. University decides to discontinue the Research by giving one month's notice in writing.
- In the event of cancellation of the Fellowship except under (f) above the candidate shall refund the fellowship amounts and grants drawn under the scheme as provided under Para H (f)

J. Eligibility of Supervisor

Supervisor of a Post Doctoral Fellow must have the following qualifications and credentials.

- a. Must be a full time confirmed Assistant Professor (of at least Scale II) of the University.
- b. Must be a qualified PhD in the relevant discipline with at least five years of teaching/research post qualification experience at Post Graduate level.
- c. Must have done at least three recognised publications (other than PhD related)
- d. Must be either guiding or be eligible for guiding PhD candidates of the University. Number of the PhD candidates under guidance should not exceed five.

K. Eligibility of Department

The Department to be eligible to have Post Doctoral Fellow/s must have the following pre-requisites:

- a. Must be offering PhD Programme.
- b. Must have at least one Professor and two Associate Professors.
- c. Must have a Research Committee / assigned faculty involved in independent research.
- d. Must have faculty eligible to guide PhD candidates of the University.

L. Annexures – Forms

The following forms are given in the Annexure.

- a. Form of Advertisement
- b. Form of Application
- c. Form of Assessment for selection
- d. Form of Letter of Appointment as PDF
- e. Form of Agreement for Research
- f. Form of Progress Report.
- g. Form of Claim for Fellowship and Grant
- h. Form of Certificate of PDF

Minutes of the meeting of the Post-doctoral fellowship review committee

As per the advice of the Board of Management the Vice Chancellor constituted a committee comprising of Prof. Chandrasekharan and Fr Joseph to review the fellowship amount proposed for post-doctoral fellow.

The committee met at 12 pm on 9 October 2015 and reviewed the post-doctoral fellowships awarded by UGC under different categories, during the XII plan period.

The committee is of the opinion that the amount mentioned in the original proposal is more or less on par with that offered by UGC and hence there is no need of appreciable change in the fellowship amount. However the initial fellowship can be made equal to that offered by UGC and HRA on par with that offered for Christ University employees.

The financial assistance proposed by the committee is as under:

	Sciences and Engineering		Social Sciences and Management	
	PD experience 0-2 years	PD experience 2-4 years	PD experience 0-2 years	PD experience 2-4 years
Monthly fellowship	Rs 25000	Rs 28000	Rs 23000	Rs 26000
HRA	Rs 3500	Rs 3500	Rs 3500	Rs 3500
Contingency pa	Rs 50000	Rs 50000	Rs 40000	Rs 40000
Escorts assistance pm for PWD	Rs 2000	Rs 2000	Rs 2000	Rs 2000

HRA of Rs 3500 pm will not be payable if hostel accommodation is provided

Original proposal:

	Sciences and Engineering		Social Sciences and Management	
	PD experience 0-2 years	PD experience 2-4 years	PD experience 0-2 years	PD experience 2-4 years
Monthly fellowship, including HRA Rs 1500	Rs 24500	Rs 26500	Rs 22500	Rs 24500
Contingency pa	Rs 50000	Rs 50000	Rs 40000	Rs 40000
Reimbursable costs pa	Rs 6000	Rs 6000	Rs 5000	Rs 5000
Escorts assistance pm for PWD	Rs 1000	Rs 1000	Rs 1000	Rs 1000

HRA of Rs 1500 pm will not be payable if hostel accommodation is provided


9/10/15


9/10/2015




Registrar
Christ University
Bangalore- 560 029

Christ University Scheme of JRF/SRF for PhD Scholars

Policy

Christ University will award Junior/Senior Research Fellowship to its selected PhD Scholars in accordance with the guidelines it may introduce from time to time pursuant to its PhD Regulations. The Fellowship assistance is intended to motivate full time devoted Research and will be provided to eligible PhD scholars in the fields of Sciences, Engineering, Humanities, Social Sciences, Commerce, Management, Law and Education. Selection of candidates for Junior/Senior Fellowship eligibility and the value of Fellowship will be as specified in the Regulation of the University in this regard. The Fellowship assistance may vary depending on the Research Discipline and will be normally for a period of three years and extendable up to four years. It shall be Junior Research Fellowship for the first 18 months and Senior Research Fellowship for the next 18 months and will be at such rates and subject to such terms and conditions as may be spelt out in the Regulation. Number of Junior/Senior Fellowship that may be approved every year by the University will depend upon its budgetary allocations and will be subject to a maximum number as may be notified by the University at the beginning of every academic year.

Regulation for Christ University JRF/SRF Scheme

This Regulation for Christ 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 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 18months 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 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

Sl.	Nature of Assistance	JRF		SRF	
		Sc./Engg	Others	Sc./Engg	Others
1	Monthly Fellowship (Rs)	20000	20000	25000	25000
2	Contingency Fund (Lumpsum for 18months)(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:

- 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.
- Photographic and other media material of relevance required for research
- Field work and Local Travel
- Computation and Analytical Charges for Consultants
- Re-Prints and Off Prints of relevant Research Papers
- Registration fee for attending Conferences/Seminars in India
- 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

Sl.	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:

- Where UGC-NET and/or MPhil is not applicable for any specific discipline, the candidate will be awarded full weight for the criterion.
- 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.
- 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

Sl.	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 Hand Book 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 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 express 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 of or indifference to the Supervisor.

Annexures – Forms

The following forms are given in the Annexure.

- a. Form of Application
- b. Form of Assessment for selection
- c. Form of Letter of Award of fellowship
- d. Form of Claim for Fellowship and Grant


Registrar
Christ University
Bangalore- 560 029





Scheme of Research Fellowship for PhD Scholars

Policy

CHRIST (Deemed to be University) will award Research Fellowship to its full-time PhD Scholars in accordance with the guidelines it may introduce from time to time pursuant to its PhD Regulations. The Fellowship assistance is intended to motivate fulltime devoted research and will be provided to eligible PhD scholars.

Regulation for Research Fellowship Scheme

This 'Regulation for Research Fellowship Scheme' 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 the academic year 2019-20. 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 should not be receiving any grant or research assistance, by whatever name called, from any other source, including the UGC.
3. The scholar should 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.
5. Initially, the Research Scholarship is for the first two years.
6. The scholar eligible for Research Fellowship during the third year shall satisfy the following additional criteria:
 - a. At least one article is communicated to a Scopus/Web of Science indexed journal approved by the Centre for Research.
 - b. Research Advisory Committee recommends the continuation of the scholarship after assessing the research progress periodically and the recommendation is approved by the Centre for Research.

B. Duration of the Fellowship

The ordinary tenure of the fellowship shall be for a period of 24 months from the commencement of the PhD programme of the relevant cohort. The Research Fellowship shall be extended to an additional 12 months subject to filling the eligibility as per Clause A. 6. of this Regulation.

C. Fellowship Assistance

1. The amount of the Research Fellowship is Rs 8000/- per month.
2. The Research 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 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 eight hours spread over not more than three days per week and will 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. 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.

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 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 his/her work ethics. Any breach of this obligation shall be misconduct.
2. The Research Fellow must be a full-time researcher and must subscribe to the regulations of the University with regular attendance. Research 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 will 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.
4. The Research 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.
5. The Research Fellow will not be entitled to 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. 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 the Centre for Research. The Research Fellow will not be entitled to any vacation applicable to University faculty members.

H. Cancellation of the Fellowship

The Fellowship is liable to be cancelled in case of breach of any obligations under this Regulation in letter and spirit.

Approved on: 28 May 2019

Notified on: 28 May 2019



Registrar

CHRIST (Deemed to be University)

Bengaluru - 560 029



CHRIST
(DEEMED TO BE UNIVERSITY)
BANGALORE · INDIA

CU Regulation for the Degree of Doctor of Philosophy May 2019

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 will encourage Ph.D Research of highest quality on subjects and topics within its authorised Disciplines which will have an implication on core knowledge, value added applications and innovativeness. Research Projects in the form of impact studies or time related statistical analysis/interpretation of mundane matters may not generally be considered for award of Ph.D.

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 CU Doctoral Regulation of 2016 and complies with the guidelines contained in the University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D Degrees) Regulations, 2016 and the notified amendments thereto. The CU Regulation for Delegation of PhD Programme to Academic Departments 2018 which was originally an addendum to the CU Doctoral Regulations 2016 shall now be an addendum to this Regulation. Hence the said Regulation along with the Operational Guidelines thereto including the Explanatory Note on Research Advisory Committee (RAC) under Clause 9 of the said Regulation as given in Annexure 1 hereto will be deemed to be part of this Regulation and the words 'Doctoral Regulation 2016' wherever it appears therein is to be read as 'PhD Regulation 2018'

1. Format of the PhD Programme

- a. Award of Degree of PhD by CHRIST (Deemed to be University) will require the candidate to successfully complete the structured Coursework (including general and domain related Research Methodology), comprehensive Research Work, Publications in Refereed Journals, Participation and/or Presentation in Doctoral Colloquium/National or International seminars, 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 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 on 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 Caluse 2.e.
- b. A full-time PhD Scholar shall be present during all 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.
- d. The time taken from the date of provisional admission till the submission of the doctoral thesis shall be considered as the duration of the programme.
- e. Women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of up to two years for PhD in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of PhD for up to 240 days which will not be counted while reckoning the maximum duration.
- f. The Course Fee for the PhD Programme as may be notified shall be payable yearly in advance for every year of its duration.
- g. In case, the duration is required to be extended beyond the minimum period as indicated above shall be subject to approval of the Doctoral Committee (DC) based on the recommendation of the Research Advisory Committee of the Centre for Research or of the Department as the case may be. The Candidate will be required to pay the prescribed annual fee for each year or part thereof of extension prior to such extension.
- h. 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 centralized 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 scholarwise 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 and exemption from the requirement of MPhil with such conditions as it may impose.
 - 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 scholars they may supervise.
 - c. Approval of disciplinewise coursework as suggested by the Research Advisory Committee/s.
 - d. Review of the Progress Reports of the Scholars as may be approved by the Research Advisory Committee.
 - 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 on the recommendation of the Research Advisory Committee.

- (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 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 and Commerce /Management) nominated by the Vice Chancellor.
 - f. Two External Experts with research credentials nominated by the Vice Chancellor.
 - g. Controller of Examinations – Invitee
 - h. Registrar – 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 physically present.
- (iv) All nominated members of DC shall have a tenure of three 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: Physics, Chemistry, Mathematics, Computer Science, Life Sciences–Botany, Zoology and Biotechnology, Engineering (for all branches in the academic stream), Psychology, Philosophy, Sociology, Education, Media Studies, English Studies, Social Work, Tourism, Law, Management, Commerce and Economics.
- b) More disciplines may be added from time to time with the approval of the Academic Council of the University.

5. Eligibility for the Programme

- a. The minimum eligibility for admission to PhD Programme shall be:
 - i. Postgraduation (Master's degree) in the specified/related discipline from any recognized University with at least 55% Marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree with equivalent grade from a foreign educational Institution as may be approved by AIU
 - ii. A pass in the Entrance Test and Interview conducted by CHRIST (Deemed to be University). Entrance Test and Interview for those students who qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ SLET/ GATE/ MPhil shall be of different nature.
- b. Professional qualification in Chartered Accountancy /Cost Accountancy/ Company Secretary as awarded by the respective Statutory Institutes of India will be considered as equivalent to Master 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 Degree. However, permission to pursue in a different Subject/Faculty may be considered by the DC in special cases on the recommendation of the Research Advisory Committee subject to such conditions as may be prescribed.

6. Admission Process

- a. Disciplinewise intake for PhD programme shall be determined annually by the academic bodies depending on the availability of eligible Research Supervisors duly considering scholar-supervisor ratio and the required academic /physical facilities for research.
- b. 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/ disciplinewise 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.
- c. Students who have qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ SLET/ GATE/ MPhil shall apply for PhD any time of the year by sending their research proposal and curriculum vitae to research@chrsituniversity.in
- d. 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. Duly signed Print copy of the filed Application Form along with the specified mandatory enclosures must be sent by surface mail to the Office of Admissions within the specified time limit. The Application Form may also be collected from the Office of Admissions by paying the Admission Processing Fee but online filing of the application will be a pre-requisite for consideration of the Application. Soft copy of the Research Proposal duly quoting the Application reference must also be mailed to research@christuniversity.in.
- e. Only the Candidates who meet eligibility criteria and whose Application is complete in all aspects shall be able to download the E-Admit Card to appear for the Admission Process.
- f. The admission process will consist of an Online Entrance Test for 100 Marks of two hours duration followed by a personal interview. The syllabus for the entrance test will cover 50 percent relating to General Research Methodology and 50 percent on specific Discipline. Candidates must score at least 50% in the Entrance Test.
- 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 disciplinewise 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 present to the DC the list of disciplinewise selected candidates duly considering the permissible Intake along with its recommendation for assignment of Supervisor for each candidate choosing from 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.
- l. The DC will review, consider and approve the Provisional Admissions as well as assignment of Supervisor and Co-Supervisor (if so proposed) as recommended by the Centre for Research and the list of candidates approved for Provisional admission will be sent back to the Office of Admissions through the Centre for Research to notify individually to the selected Candidates.
- m. 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.
- n. 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.
- o. The Office of Admissions in due course will forward the disciplinewise list of candidates who have completed the document verification including fee payment to the Centre for Research and/or 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 consideration by the Supervisor concerned and subsequently by the Departmental Research Advisory Committee for commencement of the Coursework.
- p. The approved list of Provisional Admissions will also be sent to the Office of Controller of Examination for its information and records.
- q. The Admission Process shall normally be completed within a period of sixty (60) days from closing date for receipt of applications.
- r. 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.
- s. 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 scholar, topic/discipline of research, name of the Supervisor /Co-Supervisor and the date of enrolment.

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 months which shall be counted within the overall normal duration of three years for the Programme. The

Credit assigned to PhD coursework shall be a minimum of eight (8) and a maximum of sixteen (16).

- b. The coursework will be based on specified syllabus divided into three or four units, duly approved by the Board of Studies/Research Advisory Committee of the Centre for Research or 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), the DC and the Academic Council.
- c. The coursework will include topics on Research Practices and Doctoral Education, Higher education and Academic Communication, Leadership and Development in Academic Practice, Research Ethics, Tools and computer applications, Academic Writing and Doctoral Proposal Labs.
- 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 an 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
- c) The Results of ECS will be announced within 30 days of its conclusion and will be individually communicated to the students.
- g. On successful completion of the coursework 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.
- h. 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
- i. Students who do not get minimum specified Marks 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.
- j. 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.
- k. Students to write the Supplementary Examination will be required to pay a Fee as may be prescribed.
- l. 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 Course Work.
- m. 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 Programme.
- n. There shall be no refund of fee already paid by the candidates whose admission could not be confirmed due to failure in coursework.

- o. 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/Research Advisory Committee, invited Professors and interested Research Scholars. The Colloquium which shall be held within one month of the announcement of result of Course Work may suggest on various aspects of the Research Proposal including but not limited to thesis title, scope of research, methodology and statistical tools. The suggestions offered by the Colloquium need not necessarily be adopted absolutely but must be given due consideration by the Student based on appropriate guidance of the Supervisor concerned.
- p. Post Pre-Doctoral Colloquium the Student will be recognised as a Research Scholar to proceed with PhD research under the guidance of the Supervisor, which shall be subject to a bi-annual review by the duly constituted Research Advisory Committee of the Centre for Research or of the Department concerned as specified under Clause 9 of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 read with the Operational Procedures and Guidelines thereto.

8. Programme Administration

- a. The PhD Programme of the University for All 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 and ending with Thesis Defense shall be coordinated by the Centre by constituting scholarwise 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 concerning the Research Discipline, including the Supervisor and the Co-supervisor, as assigned. The RAC will be chaired by the Supervisor, Department PhD Coordinator or PhD Coordinator of the Centre. There may be more than one PhD Coordinator of the Centre to coordinate RACs of specific Discipline Groups—Sciences, Social Sciences including Education, Commerce and Management, Engineering, Law etc—who shall be the Secretary responsible for compliance of all regulatory compliances under the guidance/supervision of the Director/Associate Director of the Centre.
- b. 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. Every candidate provisionally selected for the PhD programme shall be assigned a Research Supervisor under whose guidance the PhD Research shall be carried out.
- b. The candidates whose research is inter-disciplinary 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 will work inclusively in collaboration with the Supervisor and not as an independent Supervisor.
- c. 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.

- d. The Research Supervisor/Co-Supervisor shall be required to sign a declaration that he/she is not a relative of the candidate.
- e. No candidate will be permitted to seek a particular Supervisor or to directly or indirectly influence the allotment of the Supervisor.
- f. 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.
- g. 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.
- h. The Research Supervisor and the Co-Supervisor shall be from among the full-time regular faculty of the University at the level of Assistant Professor, Associate Professor or Professor working in the Department of the applicable faculty discipline. 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.
- i. In case the specific additional expertise required for multi-disciplinary/inter-disciplinary research is not available within the University there may be a Co-Supervisor appointed from recognised/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.
- j. 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 for Engagement of PhD Supervisors.

10. PhD Scholarship/Fellowship

- a. The PhD Scholars (post completion of coursework) of the University shall be entitled for performance-based Scholarship in accordance with the University Scholarship Scheme for PhD Scholars as given in Annexure 3 hereto.
- b. The Scholars interested in availing the Scholarship will be required to 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 4 hereto subject to their eligibility and selection under the Scheme.
- d. The Scholars who are awarded JRF or SRF shall not be entitled for Scholarship.

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 Research 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 finalize the Research Proposal and title of the Thesis duly considering and reflecting the object and scope of the Research. This must be done within the first six months of commencement of research work and be got approved by the RAC by making a presentation. Any suggestions made by RAC must be duly adopted. If RAC is not satisfied with the presentation it may seek a repeat presentation.
- 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 Scholar.
- e. No alteration in the PhD Thesis Title and /or its modification will 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 Candidate for its review and feedback. This requirement is mandatory.
- g. The supervisor shall ensure that the Candidate is given or has access to the required research facilities including material, machine or laboratory support 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 CU Regulation for Code of Research Conduct and Research Ethics to the extent it may apply.
- i. There shall be at least two Doctor Colloquia (yearly once) held within the duration of the PhD Programme. The Colloquia will 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 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 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 Thesis and Synopsis 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 Thesis Synopsis before the Research Advisory Committee of the Centre for Research or of the Department concerned as the case may be in duly conducted meeting 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 Presentation may be suitably incorporated into the Draft Thesis in consultation with the Supervisor.



Approval of Thesis Synopsis by the RAC is a pre-requisite for submission of the Thesis for Evaluation.

- l. The Research Scholar shall ensure that the 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 Thesis for evaluation, the Research Scholar must publish at least 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 conferences/seminars and produce evidence for the same in the form of presentation certificates and/or reprints.
- b. The Research Scholar must also 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 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 Appendix I 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 Thesis must also be sent to the Centre for Research at research@christuniversity.in.
- d. No 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 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, who are not in employment of the University of whom one examiner may be from outside the State or the Country.
- b. The External Examiners will inter-alia examine whether the candidate has achieved the objectives mentioned in the Thesis while preparing the Evaluation Report on the 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 Thesis shall be conducted only if the Evaluation Reports of both External Examiners on the 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 Thesis evaluated by a third External Examiner out of the approved panel of 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 Thesis shall be rejected and the Research Scholar shall be declared ineligible for Viva-Voce Examination and for the award of the Degree.
- d. If the Examiners recommend corrections or revisions to the Thesis submitted the Research Scholar will be obliged to incorporate 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 the Thesis for specified 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 Thesis within a maximum period of 30 days. If the RAC feels that there is no justification for re-submission, the 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 Thesis in consultation with the Supervisor without need for review by RAC for resubmission. 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 External Examiners consisting of five Examiners from within Karnataka and five Examiners from outside Karnataka as recommended by the RAC in consultation with the Supervisor to the Centre for Research and approved by the DC. Examiners from outside Karnataka may also include those from outside the Country, if available. The Vice Chancellor or his authorised nominee shall choose up to two Examiners marking the order of preference from each category (within and outside Karnataka) and the Centre for Research shall forward the 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.
 - 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.
 - h. The External Examiner is normally given 30 days time to evaluate the 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 Thesis and the same will 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 Thesis.

14. PhD Viva-Voce Defense

- a. The Research Scholar whose 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 three (3) copies in original of hard bound 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 report, shall be conducted by the Research Supervisor/s in the presence of at least one of the two External Examiners who evaluated the Thesis and the Chairperson of the RAC and all of them together will constitute the Board of Examiners for the Viva - Voce which 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 shall be for a minimum duration of 60 Mts including the question-answer session.
 - f. The Research Scholar shall present the Research Thesis before the Viva-Voce Examination Board in an open forum of audience and shall adequately respond to the 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 DC with recommendation for award of the Degree subject to favourable comments by the External Examiner and at least one of the other Examiners.
- b. Subject to approval for the award of the Degree by the DC 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/ Co-Supervisor (if any) and (d) The Title of the 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, 2016.
- d. After the Notification is issued and prior to the actual award of the Degree the PhD Thesis will be hosted on the website of the University and an electronic copy of the Thesis will be sent to INFLIBNET as prescribed by UGC.
- 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. False declaration or fraudulent claims in respect of eligibility.
 - ii. Non- payment of prescribed Fee within specified/extended time.
 - iii. Direct or indirect influencing in the appointment of Supervisor/s.
 - iv. Non-completion of the Coursework as prescribed.
 - v. Indulging in unethical research practices or academic dishonesty, including plagiarism.
 - vi. Failure to comply with mandatory requirements under this Regulation.
 - vii. Failure to submit the Thesis for Evaluation within the specified/ extended time.
 - viii. Failure to appear for Viva-Voce.
- 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).
- c. If the candidate is proved to be guilty of repeated offence of Plagiarism at any time during the PhD Programme in respect of his/her PhD Research, not only it will 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 RAC without involving the interested party in RAC in the decision making. If the matter is not resolved by the RAC it will be referred to DC through the Centre for Research 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: 17 May 2019
Notified: 18 May 2019



Registrar
CHRIST (Deemed to be University)
Bengaluru - 560 029



नोट 2: उस स्थिति में दण्ड, जब साहित्यिक चोरी का लाभ अथवा क्रेडिट पहले ही प्राप्त किया गया हो- यदि लाभ अथवा क्रेडिट प्राप्त किए जाने, जैसा भी मामला हो, की तिथि के बाद साहित्यिक चोरी सिद्ध हो तो उसके द्वारा प्राप्त लाभ अथवा क्रेडिट को आईएआईपी द्वारा संस्तुत अवधि के लिए आस्थगित रखा जाएगा तथा संस्थान के प्रमुख द्वारा अनुमोदित किया जाएगा।

नोट 3 : उच्चतर शिक्षा संस्थान ऐसा तंत्र विकसित करेंगे ताकि यह सुनिश्चित किया जाए कि छात्र, संकाय, शोधकर्ता अथवा कर्मचारिवृंद द्वारा प्रकाशित किए गए प्रत्येक पत्र/शोध-प्रबंध (थीसीस) तथा शोध-निबंध (डिसरटेशन) को अग्रेषित/ प्रस्तुत किए जाने के समय साहित्यिक चोरी के लिए जांचा जाए।

नोट 4 : यदि उच्चतर शिक्षा संस्थान के प्रधान के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, इन विनियमों के अनुरूप उच्चतर शिक्षा संस्थान के नियंत्रण अधिकारी द्वारा उपर्युक्त कार्रवाई की जाएगी।

नोट 5 : यदि संस्थागत स्तर पर विभागाध्यक्ष/प्राधिकारियों के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, इन विनियमों के अनुरूप आईएआईपी द्वारा उपर्युक्त कार्रवाई की जाएगी जिसे सक्षम अधिकारी द्वारा अनुमोदित किया जाएगा।

नोट 6 : यदि डीएआईपी अथवा आईएआईपी के किसी सदस्यगण के विरुद्ध साहित्यिक चोरी की कोई शिकायत हो तो, ऐसा सदस्य ऐसी बैठकों में भाग नहीं लेगा जहां उसके मामले के संबंध में चर्चा की जा रही हो/अथवा जांच की जा रही हो।

13. कठिनाइयों का निवारण

विश्वविद्यालय अनुदान आयोग, इन विनियमों के कार्यान्वयन के दौरान सामने आने वाली कठिनाइयों को भारत सरकार/मानव संसाधन विकास मंत्रालय के परामर्श से निवारण करने का अधिकार सुरक्षित रखता है।

प्रो. रजनीश जैन, सचिव

[विज्ञापन-III/4/असा./161/18]

UNIVERSITY GRANTS COMMISSION NOTIFICATION

UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018

New Delhi, the 23rd July, 2018

F. 1-18/2010(CPP-II).—

Preamble

Whereas, University Grants Commission (UGC), as per UGC Act, 1956, is mandated to coordinate and determine the standards of higher education;

And whereas, assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by Higher Educational Institutions (HEIs);

Therefore, in exercise of the powers conferred by clause (j) of Section 12 read with clauses (f) and (g) of sub-section (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations:-

1. Short title, application and commencement -

- These regulations shall be called the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.
- They shall apply to the students, faculty, researchers and staff of all Higher Educational Institutions in the country.
- These regulations shall come into force from the date of their notification in the Official Gazette.

2. Definitions -

In these regulations, unless the context otherwise requires—

- a. "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b. "Author" includes a student or a faculty or a researcher or staff of Higher Educational Institution (HEI) who claims to be the creator of the work under consideration;
- c. "Commission" means the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;
- e. "Degree" means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;
- f. "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- g. "Faculty" refers to a person who is teaching and/or guiding students enrolled in an HEI in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;
- h. "Higher Educational Institution (HEI)" means a university recognized under section 2(f) of the UGC Act, 1956 or an institution deemed to be university under section 3 of the UGC Act, 1956 or an affiliating college / institution or a constituent unit of a university;
- i. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;
- j. "Institutional Academic Integrity Panel" shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- k. "Notification" means a notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- l. "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- m. "Programme" means a programme of study leading to the award of a masters and research level degree;
- n. "Researcher" refers to a person conducting academic / scientific research in HEIs;
- o. "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- p. "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2 (1);
- q. "Staff" refers to all non-teaching staff working in HEIs in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- r. "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);
- s. "University" means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;
- t. "Year" means the academic session in which a proven offence has been committed.

Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

3. Objectives

- 3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- 3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- 3.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

4. Duties of HEI:

Every HEI should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

5. Awareness Programs and Trainings:

- (a) HEI shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- (b) HEI shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
- (c) HEI shall :
 - i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory course work/module.
 - ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
 - iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the HEI.
 - iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
 - v. Establish facility equipped with modern technologies for detection of plagiarism.
 - vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

6. Curbing Plagiarism

- a) HEI shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b) The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.
- c) Every student submitting a thesis, dissertation, or any other such documents to the HEI shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the HEI.
- e) HEI shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the HEI website.
- f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- g) HEI shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- h) HEI shall create Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-house publications.

7. Similarity checks for exclusion from Plagiarism

The similarity checks for plagiarism shall exclude the following:

- i. All quoted work reproduced with all necessary permission and/or attribution.
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

Note:

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

8. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities upto 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

9. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the HEI.

The authorities of HEI can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

10. Departmental Academic Integrity Panel (DAIP)

- i. All Departments in HEI shall notify a DAIP whose composition shall be as given below:
 - a. Chairman - Head of the Department
 - b. Member - Senior academician from outside the department, to be nominated by the head of HEI.
 - c. Member - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

11. Institutional Academic Integrity Panel (IAIP)

- i. HEI shall notify a IAIP whose composition shall be as given below:
 - a. Chairman - Pro-VC/Dean/Senior Academician of the HEI.
 - b. Member - Senior Academician other than Chairman, to be nominated by the Head of HEI.
 - c. Member - One member nominated by the Head of HEI from outside the HEI
 - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The IAIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.

- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of HEI.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the HEI within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

12. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the HEI only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

12.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. **Level 0: Similarities upto 10%** - Minor Similarities, no penalty.
- ii. **Level 1: Similarities above 10% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** - Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism - Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

12.2 Penalties in case of plagiarism in academic and research publications

- I. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
- II. **Level 1: Similarities above 10% to 40%**
 - i) Shall be asked to withdraw manuscript.
- III. **Level 2: Similarities above 40% to 60%**
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall be denied a right to one annual increment.
 - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.
- IV. **Level 3: Similarities above 60%**
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall be denied a right to two successive annual increments.
 - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the HEI.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

Note 3: HEIs shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the HEI is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Head of an HEI, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the HEI.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

13. Removal of Difficulty

UGC reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Government of India/ Ministry of Human Resource Development.

Prof. RAJNISH JAIN, Secy.

[ADVT.-III/4/Exty./161/18]



Registrar

*CHRIST (Deemed to be University)
Bengaluru - 560 029*



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Christ University, Bengaluru

Regulation on Intellectual Property 2016

Preamble

In fulfillment of its vision and mission, Christ University promotes inventions, innovations and other creative works of its faculty, staff, students and other associates. Protection of Intellectual Property (IP) so created at the University is considered a significant institutional responsibility and is recognized as a continuous process in highlighting the research accomplishments of the University. There shall be a formal framework (Regulation) to guide implementation of the said process to sustain and grow creativity in an ethical environment to support all those engaged in creations of original and innovative work at the University. The Regulation will provide for facilitation and assistance in translating such creative works into IP and for its potential commercialization as may be appropriate.

Regulation

1. Applicability

This Regulation, to the extent it is relevant shall apply to all creative works done at the University by its existing faculty (including regular, part-time and visiting), staff, students or associates individually or in collaboration (hereinafter individually and collectively referred to as 'Creator' which will also mean 'Inventor' or 'Author' according to the context) in relation to educational or research programs including but not limited to formal Degree Programs, Research Projects, Research based deliverables, Extension Activities, Consultancy Assignments & Projects, Publications, Seminars & Workshops, Product Development, Inventions, Innovative models, Scientific Experiments, Media and Press releases and the like and will generally cover all classes of Intellectual Property and more particularly will be concerned with Patent, Copyright, Design Registration, Trademarks, Licensing and such related matters pertaining to Inventions, Innovations, Publications, Computer Programs & Softwares, Standards, Integrated Circuits, Media Releases etc. created or happening at or on behalf of the University. The term Associates herein will include to mean individuals and organizations who/that are directly or indirectly connected with any of the educational, research or consultancy activities of the University as aforesaid.

2. General Rules of Eligibility for Intellectual Property

(The content in this part of the Regulation is only a general guideline and does not constitute a legal advice. Reference to an IP Attorney is recommended before acting on any specific issue of legality.)

- a) The applicability of the Regulation will be subject to the provisions contained in the following legislations in India including the Rules thereof with all its amendments from time to time.
 - i. Patents Act, 1970
 - ii. Trademarks Act, 1999
 - iii. Designs Act, 2000;
 - iv. Geographical Indications of Goods (Registration and Protection) Act, 1999
 - v. Copyright Act, 1957
 - vi. Protection of Plant Varieties and Farmers' Rights Act, 2001

- vii. Semiconductor Integrated Circuits Layout-Design Act, 2000 and
- viii. Biological Diversity Act, 2002
- ix. National IPR Policy 2016

b) Any of the applicable category of creativity at the University as aforesaid to be eligible for consideration as Intellectual Property must satisfy the following conditions:

i. **In the case of Patent** the invention must be patentable; that is –

- It must be a new product or process
- It must be non-obvious to a person skilled in the invention related area.
- It must be useful or beneficial.
- It must be capable of industrial application.

ii. **In the case of Copyright** (a right given by law to creators of original literary, dramatic, musical and artistic works and producers of cinematograph films and sound recordings)

- It must be first published in India
- If it is first published outside India the author at the date of publication must be a citizen of India.
- In the case of unpublished works (except works of architecture) the author on the date of making the work must be either a citizen of India or must be domiciled in India.
- There shall be no Copyright for an idea unless it translates into a material form resulting from such idea.
- Original adaptation of another literary work – literary to dramatics, abridgement in to a picture format, translation of original work etc. - will be eligible for independent Copyright subject to authorization and non-infringement rules.

iii. **In the case of Design** (means a conception of shape, configuration, pattern, ornamentation, colour etc which gives the look to an article but does not include the article or its Trademark) to make it registerable.

- It must be new or original not previously published in India.
- It must not have been already published in India or abroad.
- It must be significantly distinguishable from known designs or combination of known designs.
- It must not constitute/contain scandalous or obscene matter.

iv. **In the case of Trademarks or Service Marks** (Distinguishable visual / graphic representation/symbol used on or in connection with goods or services of a specified person and may include words), to make it registerable,

- It must be distinctive with specific features.
- It must not have direct or indirect resemblance to another.
- It must remain consistent in specifications including the colour and size of the font if words are used.
- It must not mislead the public.

c) Any eligible creative work to acquire the status of IP must be registered with the appropriate authority under the relevant legislation by filing application in the prescribed format with such enclosures and payment of fee as specified.



- d) The term of Patent is normally territorial (restricted to the country in which it is granted) in nature with tenure of 20 years starting from the date of Application. Patent will lapse if annual renewal fee is not paid.
- e) The term of Copyright is for life of the author plus 60 years from the date of death. In the case of cinematograph films, sound recordings, photographs, posthumous publications, anonymous and pseudonymous publications, works of government and works of international organisations, the 60-year period is counted from the date of publication.
- f) The term of design is 10 years from the date of registration renewable for a further period of 5 years subject to payment of renewal fee within the initial term validity.
- g) The term of Trademark is 10 years and is renewable every ten years.

3. Ownership of Intellectual Property

- a) Ownership of Intellectual Property with all its accompanying Rights and Obligations in respect any creative work done by anyone at the University or by the use of any resource of the University shall rest with the University with the exception that the text books or such other publication authored by any of the faculty or staff of the University will be permitted to be owned by such faculty or staff subject to prior information to and approval of the Intellectual Property Cell of the University in the prescribed format.
- b) Invention or other creation including software, designs and integrated circuit layouts by the Creator without significant use of the resources of the University and which are not connected with the employment/engagement of the Creator at the University shall be permitted to be owned by the Creator if so assessed and recommended by the Intellectual Property Cell of the University.
- c) Invention or other creation including software, designs and integrated circuit layouts, produced during the course of sponsored and/or collaborative activity, specific provisions related to IP made in contracts governing the collaborative activity shall determine the ownership of IP and will be bound by confidentiality/disclosure agreements specified therein. ('Collaborative Activity' is the research/consultancy undertaken by the Creator in cooperation with industry and/or another researcher outside the University)
- d) Notwithstanding the ownership resting with the University in respect of copyrightable creations, the author/s thereof shall have the right of use such material for their own professional purpose/s in their individual capacity.
- e) Ownership of Trademark(s) / service mark(s) created for or on behalf of the University shall remain with the University without any limitation.
- f) In cases of all IP produced at the University, the University shall retain a non-exclusive, free, irrevocable license to copy/use the IP for teaching and research activities, consistent with confidentiality agreements were entered into by the University.

4. Intellectual Property Rights

The importance of intellectual property in India is well established at all levels- statutory, administrative and judicial. India ratified the agreement establishing the World Trade Organisation (WTO). This Agreement, inter-alia, contains an Agreement

on Trade Related Aspects of Intellectual Property Rights (TRIPS) which came into force from 1st January 1995. It lays down minimum standards for protection and enforcement of intellectual property rights in member countries which are required to promote effective and adequate protection of intellectual property rights with a view to reducing distortions and impediments to international trade. The obligations under the TRIPS Agreement relate to provision of minimum standard of protection within the member countries legal systems and practices.* (*<http://indiaibusiness.nic.in>) World Intellectual Property Organisation (WIPO) is the global forum for intellectual property services, policy, information and cooperation and was established in 1967 as a self-funding agency of the United Nations, with head quarters in Geneva, Switzerland.*(<http://www.wipo.int>)

5. Intellectual Property Cell – Constitution, Duties and Powers

- a) In order to streamline, guide and facilitate recognition of Intellectual Property developed or created at or on behalf of the University there shall be a duly constituted Intellectual Property Cell of the University (CU-IPC).
- b) CU-IPC will have five members headed by a Director. All the members of the Cell including the Director shall be nominated by the Vice Chancellor from among the senior faculty/staff of the University having expertise in distinct disciplines with particular reference to IP. The members of the Cell other than the Director shall have a term of office for 3 years at a time but may be renominated.
- c) CU-IPC will act as independent body to assess and approve all IP related registration processes including desirability of such registration of all creative initiatives at the University, whether completed or in process or in proposal stage, referred to it by the Creator.
- d) CU-IPC will be responsible for vetting all proposals / applications for Patent, Copyright, Licensing, Registration of Drawings, Trademarks and any other IP related applications emanating from the University.
- e) Applications unless approved by the CU-IPC will not be considered by the University for recognizing the authorship/usership and/or for funding.
- f) **Duties** of CU-IPC will include the following:
 - i. Advise and assist the Creator in preparing preliminary first information about the IP (in the prescribed format) proposed to be registered.
 - ii. Review and examine the preliminary information with reference to Rules of Eligibility and to assess/decide on the desirability of further processing based on essential documentary and physical evidences.
 - iii. Carry out preliminary search relating to pre-existing creations with regard to proposed registration to ensure its acceptability by the concerned Authority.
 - iv. Advise the Creator about the type of and on right timing for filing of IP Application with the concerned Authority and to assist in its preparation and filing.
 - v. Assist the Creator in preparing the Final Application either by its own secretariat or through an approved IP Professional.
 - vi. Based on the nature of IP and the costs involved render assistance/advice to the Creator to identify potential funding agency such as Department of

Biotechnology (DBT) or National Research Development Corporation (NRDC) etc.

- vii. Provide sources of IP data bases to enable information relating to existing or potential IP in process.
- viii. Consult with and be advised by appropriate IP Attorneys (Professionals) and to periodically follow up on the progress of IP related works entrusted to them.
- ix. Conduct workshops and seminars on IP related processes to familiarise and educate the researchers of the University.
- x. Shortlist/ Empanel competent IP Agents or Attorneys for the University to enable prompt response and service.
- xi. Obtain adequate fund allocation for 'Intellectual Property Processing' in the Finance Budget of the University, in consultation with the Chief Finance Officer and maintain record of its utilisation with relevant information.
- xii. Maintain a record of IP Processed by the University in the prescribed format in Annexure 2

g) **Powers** of CU-IPC will include the following:

- i. The CU-IPC may have its own administrative / technical staff to manage the IP related processes and may nominate expert committees such as Intellectual Property Assessment and Review Committee (IPARC) for specific duties of the Cell in relation to IP.
 - ii. The CU-IPC shall be the apex body of the University to determine whether or not a particular creation should be pursued for IP recognition. In the event the University decides not to apply for IP recognition in respect of any creation, the Creator on their own accord, in their personal capacity and at their own cost may prefer to pursue IP recognition process.
 - iii. Recommend honorarium for its members and for the members of its committee, as may be deemed necessary.
 - iv. Appointment of IP Attorneys (Patent Agents, Lawyers or other Professionals) and to negotiate their fees.
 - v. Authorise payment of IP related Application Fees and Professional Charges.
 - vi. Where deemed appropriate, the CU-IPC may review and vary the recommendation of IPARC subject to due consultation with its members.
- h) The CU-IPC members including its officials and staff as well as Members of its Committees shall maintain strict confidentiality of and shall disclose their personal interest if any in respect of any proposal referred to the Cell. All such persons shall be under implied obligation to maintain confidentiality and to disclose conflict of interest, whether or not they have signed a separate Agreement in this regard.

6. Intellectual Property Assessment and Review Committee (IPARC)

- a) CU-IPC may constitute an IP Assessment and Review Committee (IPARC) for each specific IP proposal, consisting of a Chairperson and up to four (not less than two) additional faculty members (from within or outside) with domain

- expertise or familiarity/experience in areas related to the creative work and IP related legal issues.
- b) The Creator may suggest names of faculty having domain expertise qualified to evaluate the creative work. Inclusion of any of them in IPARC shall be at the discretion of CU-IPC.
 - c) IPARC shall function within its terms of reference that may be issued by CU-IPC and is expected to complete its task within the time limits specified.
 - d) IPARC is not expected to comment or suggest on any matter other as required under this Regulation or as provided in the terms of reference.
 - e) IPARC although is constituted by CU-IPC shall have an independent jurisdiction and shall make its opinions and recommendations dispassionately without any bias or influence.
 - f) IPARC will have a term limited to completion of its immediate purpose and may be re-called as and when deemed necessary by the CU-IPC.
 - g) The Members of IPARC (individually and collectively) shall maintain strict confidentiality about the IP proposal they assessed or reviewed during and after the term/s of IPARC and shall disclose their 'Conflict of Interest' in respect of any proposal before accepting the member role in IPARC.

7. Procedure for Registration of Intellectual Property

- a) Any Creator desirous of filing a patent or copyright or trademark application would be advised to contact CU-IPC regarding these issues by submitting the first information about the proposed IP in the IP Pre-Approval Information Form as per Annexure 1. This form must be submitted in duplicate with a covering letter duly listing all the documents attached thereto.
- b) IPARC duly constituted by CU-IPC shall assess the disclosure contained in the Pre-Approval Information Form (Annexure 1) and shall make recommendations (with full justification) to CU-IPC (within a maximum period of 45 days from the date of submission of Annexure 1 and all required information and documents) about the registrability of the IP according to the provisions of Regulation 2. IPARC for the purpose may seek additional information as it may deem necessary and/or call for a meeting with the Creator. IPARC may make one of the following recommendations:
 - i. That the University shall take the responsibility of protection of the IP in which case CU-IPC may decide to initiate appropriate processes.
 - ii. That the University shall not take the responsibility of protection of the IP in which case CU-IPC may decide to forego the ownership of creation in favour of the Creator who may choose to protect the creative work by themselves.
 - iii. If protection of the proposed IP is sought for in any foreign Country, the IPARC within six months of filing the Complete IP Application to the appropriate Authority in India and based on available information will advise on the suitability of protection of the creative work (invention) in foreign countries. If based on such advice CU-IPC decides not to undertake such protection in any specific country requested, the Creator may at their own discretion pursue the same in which case the University will assign the right of ownership of the work to the Creator for the specific purpose of such protection.

- c) CU-IPC will communicate with the first named Creator about its decision on their submission and for all further actions required within a maximum period of 60 days from the date of submission of Annexure 1 and/or all required information and documents.

8. Acquiring Intellectual Property Rights and the Costs

- a) Based on the recommendation of CU-IPC, if the University accepts to protect any particular creative work at the University, CU-IPC will be authorised to further process it for drafting and filing of the IP application as appropriate with or without the assistance of an IP Attorney at its discretion.
- b) The University will bear the entire costs of the IP processing including but not limited to the filing fees, professional charges for drafting and filing an Indian IP application, fee for accessing the relevant IP information databases and other associated costs.
- c) Based on the recommendation of CU-IPC, if the University accepts to file IP applications in other countries, then it shall bear the cost of application and other associated costs. The University shall be free to enter into agreements with overseas institutions for protection and licensing of the IP.

9. Renewal of IP Rights

- a) Any decision on the annual renewal of IP Rights acquired by the University shall be taken by a committee constituted by CU-IPC. If on the recommendation of CU-IPC, the University decides not to renew the IPR in any country (including India), then it will assign the rights of the IP in that country to the Creator upon a request to that effect from the Creator(s). In case of patents, the process of reassignment will be completed in a period of three months before the due date for its renewal.
- b) In all cases where IP rights in any specific country have been reassigned to the Creator the University may decide to the claim in part or full, of the costs incurred by it out of the earnings if any of the Creator through that IP in that Country.

10. Technology Transfer and Revenue Sharing

- a) The University through CU-IPC facilitate avenues for Technology Transfer and identify potential licensee(s) for the IP to which it has ownership. The Creator is also expected to assist in this process.
- b) The University may contract the IP to an approved Technology Management agency, to enable the commercialization of the IP.
- c) If the University is not able to commercialize the IP in a reasonable time, then it may reassign the rights of the IP to the Creator. In the alternative if the Creator is able to identify commercial possibility for the creative work in a reasonable time frame, the Creator may propose to CU-IPC to consider and approve such proposal.

- d) Valuation of IP for Technology Transfer shall be determined by CU-IPC with reference to the demand for the technology and the prevailing market conditions in the industry. Consultation with experts may be made if felt necessary.
- e) Revenue sharing in respect of net earnings from the commercialization of IP owned by the University would be as under:

Net Earnings Range	Creator Share	University Share
Up to first 50 lacs	30%	70%
Next 50 lacs	50%	50%
Above 100 lacs	70%	30%

- f) Revenue shall be directly collected by the University and subject to incidental cost Net Earnings will be computed and declared annually on 'Cash Basis of Accounting'. Share of the Creator will be disbursed to the credit of the Creator's Bank Account registered with the University.
- g) Creator will be entitled for their share whether or not they are associated with the University at the time of disbursement and their legal heir may claim (subject to completing the necessary formalities with the University) for the period beyond the life of the Creator, until the culmination of revenue.
- h) If there is more than one Creator, the share of the Creator shall be equally divisible among them unless there is an agreement to the contrary.
- i) In the case Technology Transfer Agreements providing for exclusive earnings for the Creator (in respect of assigned rights in any country including India) the University must remain a silent party to the agreement as a beneficiary of costs.

11. Duties & Obligations of Creator in ensuring IP Registration (Protection)

The Creator to ensure that all their protectable creative initiatives are properly protected must proactively adhere to the procedures specified in this Regulation. In this regard the Creator will have the following duties and obligations.

- a) Prompt filing of Pre-Approval Information of the creative work with CU-IPC.
- b) Regular follow up with CU-IPC about the stipulated process and to submit without any delay, the required additional information (if any) sought by CU-IPC or IPARC.
- c) Appear for meetings called by CU-IPC or IPARC as per specified schedule.
- d) Communicate with CU-IPC for any development in disclosure / related research post filing of Pre-Approval Information or of Final Application in relation to submitted IP Proposal.
- e) Discuss and share information (disclosure) with CU-IPC with regard to dissemination of the approved Intellectual property to public and/or industry to aid in commercialization.
- f) Conduct IP searches, study the existing and prior information and provide the necessary inputs to assist in the drafting of the IP Final Application.
- g) Take initiative for technology transfer for approved IP and to declare all exclusive earnings of the Creator in respect of assigned IP Rights
- h) Sign applications, agreements, undertakings with CU-IPC concerning the proposed or approved IP, in relation to its ownership, renewal, assignment,

conflict of interest, confidentiality, consultancy, technology transfer, licensing and the like as may be required by or in pursuance of this Regulation

12. Useful Websites for reference

The Creator may familiarize and become conversant about IP related matters by referring to following websites. The list given is only illustrative.

- (i) Ipindia.nic.in (ii) ipindiaonline.gov.in (iii) indiafilings.com (iv) tifac.org.in
(v) Patentindia.com (vi) iphandbook.org

13. Infringements, Damages, Liability and Indemnity

In all its Intellectual Property related agreements with reference to processing, adaptation, licensing or commercialization, the University as the principal originator of the knowledge resource, shall insist on essential and appropriate clause/s providing for consequences of Infringements and Conflict of Interest, the damages applicable and for indemnity from any legal proceedings whatsoever against potential unauthorized, improper or misuse of the IP.

14. Dispute Resolution

In case of any disputes between CU-IPC and the Creator regarding the implementation of this Regulation, the aggrieved party may appeal to the Vice Chancellor of the University. While efforts shall be made to address the concerns of the aggrieved party, with an opportunity for hearing, the decision of the Vice Chancellor in this regard will be final and binding.

15. Jurisdiction

All agreements that may be signed by the University will have the jurisdiction of the courts in Bengaluru and shall be governed by appropriate laws in India.

Glossary

For the purpose of clarification, the following terms will have its meaning as given herein for the purpose of this Regulation:

1. 'Conflict of Interest' or a 'Potential Conflict of Interest' exists when Creator (including inventor/author) is or may be in a position to use either creative work or any other resource to influence for unmerited personal or family gain. It is a situation in which a person or organization is involved in multiple interests, financial interest, or otherwise, one of which could possibly corrupt the motivation of the individual or organization.
2. 'Confidential Information' means Information not in the public domain and declared confidential by parties as such in a MoU/Agreement that has been signed by the parties.

CHRIST (Deemed to be University), Bangalore

Seed Money Scheme

Introduction

CHRIST (Deemed to be University) has been providing seed money under Minor Research Projects since 2002, and Major Research Projects since 2010. However, in order to bring it under a separate head, the University will have a separate Seed Grant Scheme.

The Seed Grant Scheme is designed to stimulate competitive research in strategic areas of national or international importance, to promote innovative product and technology development, and/or to facilitate the start of research programmes that will potentially develop into creative ventures on their own through external funding.

Objectives

The Objectives of the Seed Grant Scheme are:

1. To aid faculty members to start research programmes that have the potential to sustain by attracting funds from external agencies
2. To test a novel idea and to generate preliminary results before submitting proposals to external agencies
3. To promote inter-faculty collaboration in emerging areas
4. To promote the generation of IPR and product/process development
5. To attract and retain talent

Category, Amount and Duration of Awards

The Scheme will award Seed Grants under the following categories:

1. Category 1: Grants shall be awarded with a maximum grant of Rs 1 lakh.
2. Category 2: Grants shall be awarded with a maximum grant of Rs 3 lakhs.
3. Category 3: Grants shall be awarded with a maximum grant of Rs 5 lakhs.
4. Category 4: To encourage collaborative research, if two or more faculty members submit a joint proposal, the grant limit will be Rs 20 lakhs.

The duration of the Grant will be two years. It could be extended by another year after a review of the outcomes. The Grant awardees can request for a change of the category of the grant during the grant period, which may be considered based on the recommendation of the Monitoring Committee after a review and at the discretion of the University.

Eligibility

The following are eligible to apply for the Seed Grant:

1. Full-time regular faculty members of CHRIST (Deemed to be University) with a PhD degree and with a proven track record of quality research with at least one semester of service.
2. Only one application for Seed Grant can be submitted at a time. Seed funding will be awarded only once for a faculty within three years of joining.

Application Process

The application process for Seed Grant will be as follows:

1. The applications may be made anytime of the year or in response to the call for proposals to the Centre for Research-Projects. The call for proposals may limit research funding to a few strategic areas.
2. Call for proposals are made twice a year at the beginning of each semester. The applications will be evaluated at least twice a year, a month after each of the call for

- proposals.
3. Applications should be in the form of a full proposal of a maximum of five pages including figures and references, describing the origin and credibility of the research project, level of novelty etc.
 4. The proposals complete in all respects will be reviewed by a Selection Committee. The faculty will be invited to present their proposals before the Selection Committee.

Submission Deadline

Proposals are accepted throughout the year at the Centre for Research Projects. A decision will be made within 10 weeks of the date of application.

Selection Criteria

The proposals will be evaluated for consideration based on the following criteria:

1. Innovative and interdisciplinary research.
2. Team of faculty members whose expertise is complimentary.
3. The promise of sustainable research and development attracting external funds.
4. Budget matching the claimed outcomes.
5. Potential to generate intellectual property, including product and process development.
6. Training of PhD/post-graduate students in the Grant is encouraged.
7. Building of research network through collaborative efforts.

Evaluation The total evaluation process will follow a two-stage scheme:

Stage 1

Proposals will be evaluated by the Selection Committee Chaired by the Director, Centre for Research or his nominee, and include two or more faculty members nominated by the Director, Centre for Research. The proposal evaluation scheme will consist of each of the selection criteria.

Stage 2

The shortlisted proposals will be called for a presentation in front of the Selection Committee. The proposed Principal Investigator (PI) should present the proposal with the budget and other requirements.

Conditions

1. The decision of the Selection Committee is conveyed to the PI who will be the contact person for all administrative matters regarding the project.
2. The PI is responsible for the conduct of the research in accordance with the University research policy, rules and regulations.
3. Procurement, utilization and maintenance of equipment should be as per University policy.
4. The funds should be utilized within the stipulated period.
5. The grant money should be utilized as per the approved budget.
6. The PI should submit a progress report once every year in the prescribed format for evaluation by the Monitoring Committee mandated to monitor individual projects. In case it is found that proper efforts are not being made by the Committee, further release of funding to the project may be stopped and the project considered as discontinued. The Monitoring Committee includes the Director, Centre for Research or his nominee and at least two faculty members appointed by the Director, Centre for Research.
7. The PI is required to report the progress and the outcomes at the end of one year

- after the termination of the Seed Grant, including grants received and publication/IPR arising out of the Seed Grant.
8. In any research communication arising out of the funded project, the contribution of the University should be duly acknowledged.
 9. In case PI leaves the University before the completion of the project, the Director, Centre for Research, in consultation with the Monitoring Committee appoint a co-investigator from CHRIST (Deemed to be University) to assume responsibility as the PI or decide to terminate the Grant. No collaborator from another institution can become PI for projects under this Scheme, however, co-investigators may be included with the approval of the Director of the Centre for Research.

Expected Deliverables

Each project approved for Seed Grant is required to have the following outcomes:

1. Externally funded projects should be generated as an outcome of the Seed Grant scheme.
2. Research network with other institutions
3. Publication in peer-reviewed journals/intellectual property generation, including product/process development, would be expected as outcomes of the project. Further, it is understood that any IP emerging out of research funded by CHRIST (Deemed to be University) will be owned by the University. Such IPR will recognize contributions by all researchers as "inventors", and any resulting royalties will be shared by CHRIST (Deemed to be University) with the inventors as per the Rules and Regulations of the University.

Notified as on 23 April 2021



(Dr Anil Joseph Pinto)
Registrar
Registrar

CHRIST (Deemed to be University)
Bengaluru - 560 029
