

Doctoral Research Programme Regulations

2023 - 2024



**RAMAIAH
UNIVERSITY**
OF APPLIED SCIENCES

Dean

Office of Research and Innovation
M.S. Ramaiah University of Applied Sciences
Bangalore-560058

Registrar

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Bangalore - 560 054

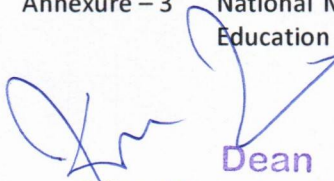
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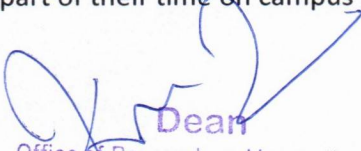
**Doctoral Research Programme Regulations of MSRUAS leading to
Ph.D. Degree
(Applicable for 2023-24 Batch onwards)**

D.1 Short Title and Commencement

- a) The regulations listed under this head are common for all Doctoral Programmes leading to the Ph.D. degree offered by the University.
- b) The regulations hereunder are subject to amendments by the Research and Innovation Council (RIC) of the University, from time to time, after considering the recommendations of the Board of Management. Such amendments will be effective from such date and apply to such batches of candidates, including those already undergoing the programme, as may be determined by the RIC.

D.2 Definitions

- a) "Commission" means University Grants Commission (UGC);
- b) "Statutes" mean the MSRUAS Statutes;
- c) "University" means the M. S. Ramaiah University of Applied Sciences (MSRUAS);
- d) "Faculty or Faculties" means a Faculty of the University or the Faculties, collectively, of the University;
- e) "Department" means a an academic unit under the relevant Faculty offering the Ph.D. degree programme;
- f) "Programme" in these regulations means the Doctoral programme in a Faculty leading to the award of the Ph.D. degree of the University;
- g) "Supervisor" means the research supervisor who supervises and/or guides the Research Scholar;
- h) "Co-supervisor" means the additional research supervisor who supervises and/or guides the Research Scholar along with the supervisor;
- i) "Course" means a set of courses a Research Scholar is required to successfully complete to become eligible for the award of the Ph.D. degree;
- j) "Course" means a subject, either theory or practical or both, listed under the programme;
- k) "Full-Time Scholar" means Research Scholars who are spending their Full-Time on campus for a research programme;
- l) "Part-Time Scholar" means Research Scholars who are employed and are spending a part of their time on campus for a research programme.


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D.2.1 What is expected out of Doctoral Research Thesis

The Doctoral Research Thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, interpretation/critical analysis of the results should exhibit advanced technical and research skills.

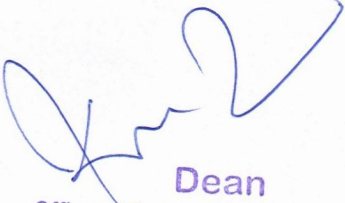
D.3 COMMITTEES

D.3.1 Research and Innovation Council

The Research and Innovation Council (RIC) of the University is responsible for administering the Ph.D. Programme. A Dean – Office of Research and Innovation will manage the Ph.D. programme of the University.

The RIC has the following members:

S. No.	Details	Designations
1	Vice-Chancellor	Chairperson
2	Pro-Vice Chancellor – Science and Engineering	Member
3	Pro-Vice Chancellor – Health Sciences	Member
4	Pro-Vice Chancellor – Social Sciences	Member
5	Dean – Office of Research & Innovation	Member-Secretary
6	Dean – Academics	Member
7	Academician- External	Member
8	R & D - External	Member
9	Dean (FET)	Member
10	Dean (FAD)	Member
11	Dean (FMC)	Member
12	Dean (FDS)	Member
13	Dean (FPH)	Member
14	Dean (FHMCT)	Member
15	Dean (FMPS)	Member
16	Dean (FLAHS)	Member
17	Dean (SSS)	Member
18	Dean (SL)	Member
19	Dean (RMC)	Member
20	Dean (RPT)	Member
21	Dean (RINER)	Member


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D.3.2 Progress Review Panel (PRP) / Doctoral Committee

For each Research Scholar, the PRP is constituted as follows:

- One independent Chair (Chairman – Doctoral Committee of the respective department (HOD)) approved by the Dean - Office of Research and Innovation, knowledgeable in the rules and regulations of the Ph.D. programme of the University
- Three Examiners (one of which may be external to University, other two are from either within the department or within the University having expertise in the relevant research field) approved by the Chairman – Doctoral Committee of the respective department, who are reasonably conversant with the research area of the Scholar
- Supervisor(s) of the Research Scholar (one of the Supervisors will be designated as the Main Supervisor)

The independent Chair, any one of the three Examiners and the Main Supervisor form the quorum. Convening the PRP is the responsibility of the Main Supervisor. On completion of the review, the Main Supervisor will forward the PRP report to the Faculty / Department Doctoral Coordinator, who is responsible to keep the files of each scholar.

D.3.3 Moral and Ethics Committee

All the Research Scholars should submit the filled in ethics declaration form during PRP-1. Depending upon the nature of the research study, the proposed methodologies and the level of risk involved, PRP can insist for full ethical approval by the ethics committee. In such cases, the full ethical approval by the ethics committee should be obtained before PRP-2.

The Ethics Committee will comprise

- Dean – Office of Research and Innovation (Chairman)
- The Dean of any one Faculty nominated by the Dean – Office of Research and Innovation
- Coordinators of the Ph.D. Programme drawn from each of the Faculties of the University
- Two members drawn from any of the University's Faculties who will be nominated by the Vice Chancellor
- Two members external to the University

Further, the RIC may refer the individual cases to any other competent ethics committee as it deems fit.



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D.3.4 Constitution of Viva Voce Examiners

The panel of Examiners for conducting the Viva-Voce comprises:

- An Independent Chair conversant with the rules and regulations of the University
- Two of the three approved thesis Examiners

All the members are required to form the quorum. The viva-voce will be held on the University campus. However, with the prior written approval of competent authority, video conferencing as a part of Viva - Voce can be considered if the examiners express their inability to attend the Viva-Voce physically. In no circumstances scholar's physical absence will be exempted for Viva-Voce. In addition, along with the scholar at least one of the examiners and independent chair should always be present during the Viva-Voce.

D.3.5 Constitution of Ph.D. Selection – Admission Committee

Dean – Office of Research and Innovation, Deans of the Faculty, HoDs and Experts nominated by HoDs and Coordinators of Doctoral Research Programme constitute Selection and Admission committee for the selection of candidates for Doctoral Research Programme. The selection of candidates is carried out as per the procedure explained in section D.4.5.3.

D.3.6 Coordinators of Doctoral Research Programme

An academic staff of each Faculty of the University nominated by the Vice Chancellor will act as the Faculty Coordinator for the Doctoral Research Programme.

D.3.7 Coordinators for Publications & IPR

An academic staff of each Faculty/Department of the University nominated by the Vice Chancellor will act as the Faculty/Department Coordinator for the Publications & IPR.

D.3.8 Office of Research & Innovation

The University would like to undertake research with national and international organizations in Government, Public and Private sectors in thrust areas to generate knowledge for the benefit of the society. The Office of Research and Innovation will coordinate the University's research activities with such organizations. The Dean who heads the office will report to the Vice Chancellor of the University, while leveraging the guidance and advice of the leadership team of university (VC, PVCs, Registrar).


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D.4 Research Programme

D.4.1 Nomenclature of the Programme

The nomenclature and the abbreviation given below shall be used for the Doctoral Degree Programme of the University:

(i) Doctor of Philosophy <Department, Faculty Title>

In addition, the descriptive letters Ph.D. and the name of the Department and Faculty shall be written within brackets. For example: a Doctoral degree in the Mechanical Engineering Department from Faculty of Engineering and Technology will be abbreviated as:

Ph.D. (Department of Mechanical Engineering, Faculty of Engineering and Technology)

D.4.2 Medium of Instruction

The medium of instruction for the Doctoral Programme is English.

D.4.3 Research Themes

The information pertaining to the Research Themes of various Faculties of the university is available on the university website.

D.4.4 Programme Duration

Ph.D. programme shall be for a minimum duration of two years excluding course work, and the scholars taking full-time route is expected to complete the degree within 3 years and a Part-Time Scholar taking the part-time route is expected to complete the programme within 3.5 years from the date of registration. The period falling between the date of first registration for the programme and the date of official submission of the thesis, less the period(s) of 'break of studies', if any, will be considered to be the total duration of the Ph.D. programme. A Scholar who has not completed the degree within the stipulated time may seek extension and the RIC may choose to appoint the PRP of the Scholar itself as the sub-committee or any other appropriate subcommittee to look into the matter. RIC shall look into the merit of the individual cases and may decide to give extension or deny the request for extension or may recommend the submission of the thesis for the award of M. Phil degree or any other appropriate recourse. The decisions of the RIC are final in all aspects of the research programmes and in all matters pertaining to Research Scholars of the University.


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In special cases, the following UGC guidelines will be applicable:

Women candidates and Persons with Disabilities (more than 40% disability) may be allowed a relaxation of two years for a Ph.D. in the maximum duration. In addition, women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of Ph.D.

For student exchanges, provided that they contribute significantly to the completion of the thesis, leave of absence may be granted from the second year onwards on the following basis:

- a) research expeditions (less than one month): authorized by the supervisor and head of the department;
- b) research missions (more than one month): proposed by the department and approved by the Research Advisory Committee for working in National/International Research Laboratories or Centres of Excellence; and
- c) exchange programmes: proposed by the department and approved by the Research Advisory Committee for working in the Institutions in India/abroad.

D.4.5 Admission of Scholars

D.4.5.1 Eligibility:

In multi-disciplinary research area, decisions about subject area of research related to entry level qualification can be referred to a select committee of respective Deans and PVCs.

Candidates for admission to the Ph.D. programme shall have successfully completed:

1. A 1-year/2-semester Master's degree programme (after 4 year undergraduate degree) with at least 60% marks in aggregate or its equivalent grade in the UGC 10- point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions.

A 2-year/4-semester Master's degree programme, with the same conditions as in sub- clause above; A candidate seeking admission after a 4-year/8-semester Bachelor's degree with Research should have a minimum CGPA of 7.5/10.


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D.4.5.2 Ph.D. Application Form

Eligible candidates may apply for the Ph.D. Programme of the University. The application form including the eligibility criteria can be downloaded from www.msruas.ac.in or can be obtained directly from the Director (Admissions). The filled-in application form should be submitted to the Director (Admissions) within the prescribed date and together with the requisite application fee. The submission of an application form does not guarantee admission to the Ph.D. Programme.

D.4.5.3 Selection

Selection for admission to the Ph.D. programme will be through a written test (Ramaiah Research Programme Entrance Test (RRPET)) followed by an interview (Research Topic and Evaluation of Basics) as described below. The relative weightages (see Merit list below) for the written test, interview and the previous academic performance, taken together, shall form the basis for preparing the merit list of eligible candidates.

Written Test Procedure

- (i) Written Test will cover the general aptitude and analytical concepts and are designed to assess the candidates' depth of knowledge and potential to carry out research work
- (ii) Test will have the following, five components:
 - a) Logical and Analytical abilities (15%)
 - b) Reasoning abilities (15%)
 - c) General Knowledge (10%)
 - d) Language (10%)
 - e) Respective Core Course (course contents equivalent to post graduate degree) (50%)
- (iii) Tests/Questions may be a mixture of multiple choice, fill in the blanks, one-two line answers and short answers. They will not require long, descriptive answers
- (iv) The use of a calculator is permitted
- (v) The total marks for the written examination is 100 and consists of 100 questions over duration of 2 hours

Interview Procedure

Interview procedure has two components, namely: Presentation on the Research Topic and Evaluation of Basics

- Candidates will be asked to make a presentation outlining his/her research interests and abilities for about 15 minutes
- Evaluation of Basics pertaining to UG and PG specialization of individual candidate will be tested by a separate panel for about 15 minutes
- Format for the presentation can be downloaded from the website www.msruas.ac.in. The

presentation will be followed by a question and answer session for the duration of about 10 minutes

- Each candidate will be evaluated based on his/her oral presentation skills, ability to articulate complex ideas, how he/she would respond to hypothetical scenarios that may be posed or other appropriate method to assess the candidate's research and analytical potential. In addition, the Candidate will be assessed about their Comprehension in the relevant domain at UG and PG level

Merit List

A final merit list will be drawn based on the:

- (i) Performance in the written test (50%)
- (ii) Presentation on Research Topic (20%)
- (iii) Evaluation of Basics (20%)
- (iv) Academic performance (Master's: 5%, Undergraduate: 5%)

The decision of RIC will be the final in the selection of candidates for all Ph.D. programmes. A scholar is required to score 50% marks combined.

The University/College shall maintain the list of all the registered Ph.D. scholars on its website on a year-wise basis. The list shall include the name of the registered candidate, the topic of his/her research, the name of his/her supervisor/co-supervisor, date of enrolment/registration.

D.4.5.4 Intake Capacity

A faculty member with a Ph.D. degree is eligible to supervise (or co-supervise) a Research Scholar. During the period falling between the Scholar's registration and the thesis submission, a Scholar is considered to be conducting research under the supervisor(s) guidance. Candidates are admitted to the Ph.D. Programme twice a year. On both occasions, the number of seats available for admission to the Ph.D. Programme will be decided based on the number of supervisors available and the number of vacancies available under each supervisor.

D.4.5.5 Reservations

The University will abide by the relevant Government rules and regulations with respect to reservation of seats, if any, at the time of admission of candidates for the Ph.D. programme.

D.4.5.6 Foreign Students

To maintain a global learning atmosphere in the University, foreign students are encouraged to seek admission to the Ph.D. programmes offered by the University. The rules and regulations applicable to such applicants are the same as that applicable to Indian applicants. They should have Master's degree qualification recognized by the Association of Indian Universities (AIU) in the related discipline or equivalent and proof of proficiency in English. For candidates with Master's degree Programme with English as medium of instruction, proof of proficiency in English is not required. However, the RIC may, from time to time,


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specify certain additional guidelines applicable exclusively to research students from foreign countries.

D.4.5.7 Ph.D. Registration

Selected candidates (both full-time and part-time) are required to fill the Ph.D. registration form that is available in the Office of Research & Innovation and submit it along with the requisite fees. Research Scholars are also required to re-register at the beginning of each academic year. The Registration Renewal Form needs to be submitted along with the requisite annual fees. Registration Forms or Registration Renewal Forms submitted without payment of the corresponding fees will not be accepted. The Initial Registration forms as well as the annual Registration Renewal forms are available in the Office of Research & Innovation. At the time of initial registration to the Ph.D. programme, all the selected candidates are required to sign an undertaking with respect to the IPR policy of the University, moral code of conduct and any other issues relevant to academic research programme. Part-time Scholars, in addition, have to attach a No Objection Certificate from their employer which includes an undertaking with respect to the IPR policies of the University. Irrespective of the mode of research study opted by the Research Scholar (Full time or Part time), the IPR policies stated in Chapter 9 of MSRUAS statutes will be binding on the Research Scholars with no exceptions.

After initial registration, each candidate will be provided an 'Enrolment letter', 'Registration Identification Number' and an 'Identity card'. The identity card can be used for accessing other facilities of the University such as e-library, library, sports facilities, experimental facilities etc. If a Research Scholar requires accommodation, he/she may make an application at this stage in the required format. After the completion of prescribed course works by the scholar, a Ph.D. Registration confirmation letter will be provided.

D.4.5.8 Research Facilities and Scholar's Care

A Research Scholar will be provided with:

1. Research Supervisory team
2. Cubicle with the necessary computing facility
3. Access to Internet
4. Access to Library, Journals, Laboratories and Workshop
5. Space to set up his/her experimental facility in consultation with Supervisor, HoD and Dean
6. Access to Reprographic Facilities
7. Help to access other Libraries, Professors, Advisors and Organizations
8. Any other facilities that are essential and within the reach of the University
9. Accommodation in the University Campus on payment of the requisite fee (if requested and subject to availability).



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D.4.6 Programme Fee

The Programme Fee will have components as described in the programme prospectus and University website. The fee will be decided by the Board of Management with the approval of Board of Governors in accordance with the recommendations of the Fee Regulation Committee constituted by the Government of Karnataka. The Fees once paid will not be refunded under any circumstances. The continuation of a Scholar's registration in subsequent academic years is subject to payment of the prescribed Fee and Registration for each of those years.

Mode of payment of Semester Tuition Fee/other dues for all students:

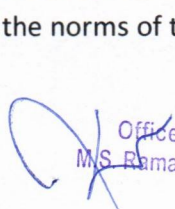
The semester tuition fee and other dues can only be paid online by all scholars (details available on university portal). The hard-copy of the fee receipt, generated by the system after the successful payment of requisite fee, should be retained by the students as a proof of payment for their own records. All fee payments to the university, including, Ph.D thesis submission fee, fee for priority issuance of degree certificate, etc, are also to be deposited online through the university portal.

Imposition of penalty for late payment of tuition fees (for already enrolled students)

- i. No Late Fee Penalty shall be applicable if the Semester Tuition Fee is paid by 31st day of January (for January semester) and 30th day of September (for September semester).
- ii. Late Fee of INR 1000 for Indian students / 100 USD in case of foreign students shall be applicable. The late fee is applicable to the students who pay fee after 1st February to 15th February for the Semester of January / 1st October to 15th October for the semester of September.
- iii. Late Fee of Rs. 1500 for Indian students / 150 USD in case of foreign students (in addition to Late Fee of Rs. 1000 / 100 USD as applicable) shall be applicable to the students who pay fee between 16th February and before 28th February for the Semester of January / between 16th October and 31st October for the semester of September.
- iv. The University portal will not allow students to pay the Tuition Fee for any Semester, until and unless she/he pays the tuition fee for all the previous Semester (including Late Fee, if applicable).
- v. **Failure to pay the Semester tuition fee (even by the late fee deadline) along with progress report for two consecutive semesters would entail cancellation of the student's enrollment/Registration in the University.**

Free-ships, Tutorships and Scholarships

The Board of Management, in consultation with the Board of Governors, may consider offering Free Ships/Tutorships/Scholarships to deserving Scholars who maintain a minimum level of performance on a yearly basis. Research Scholars will be counseled and encouraged to avail Scholarships available from various Government and other Agencies exclusively for Research Scholars. As a custodian of such Scholarship Funds, the University will strictly adhere to the norms of the Scholarship Funding Agency.


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The University will make efforts to provide teaching/research assistantships for deserving Research Scholars, wherever possible. The University may also create an Endowment Fund to offer Scholarships to deserving Research Scholars. Research Scholars may also work on sponsored (funded) research projects for their Ph.D. and avail any related assistantships.

D.4.7 Ph.D. Programme Structure

The following table describes the Ph.D. programme structure of the University.

ML : Course Leader;

PRP: Progress Review Panel (refer to subsection on Committees)

Programme Structure for Full-Time Scholars:

Sl. No.	Criteria	Course Title	Proposed Credits	Duration
1	Course Works and Allotment of Supervisor	Enrollment	-	6 Months (for both FT and PT)
2		Research Methodology (RM)	4	
3		Research and Publication Ethics (RPE)	2	
4		Technical/ Specialization Subject 1	3	
5		Topic related Seminar pertaining to Scholar's Research	2	
PRP-1				
6	Scholars Research Related Work in Consultation with the Supervisor	Registration to PhD Program	-	6 Months (for both FT and PT)
7		Technical/ Specialization Subject 2	3	
9		Comprehensive Exam	2	
10		PhD – Research Problem Formulation	-	
PRP-2				
11		Work on Objective 1	-	6 Months for FT 9 Months for PT
12		Work on Objective 2	-	
PRP-3				
13		Work on Objective 3	-	6 Months for FT 9 Months for PT
14		Work on Objective 4	-	
PRP-4				
15		Synopsis	-	6 Months (for both FT and PT)
16		Colloquium Presentation	-	
PRP-5				
17		Thesis Submission	-	6 Months (for both FT and PT)
PRP-6				
			Total Credits	16

Note:

The PRP will meet once in every six months (January and July) for a Full-Time Scholar and once every nine months for a Part-Time Scholar.

Submission of Thesis meets the partial requirement towards the award of Ph.D. degree for part-time Research Scholars sponsored by an organisation, it is necessary that the

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organisation should commit providing necessary infrastructure and facilities in their organisation for satisfactorily carrying out ones research work.

D.4.8 Academic Calendar

General Academic Calendar

The general academic calendar, common to Ph.D. programme of the University is given below:

Sl. No.	Activity	January Session	September Session
i	Release of Ph.D. admission Notification	November 1 st week	June 1 st week
ii	RRPT, Selection of Ph.D. scholars	2 nd Week of December	2 nd Week of August
iii	Enrollment	1 st Week of January	1 st Week of September
iv	Session Begins	2 nd Week of January	2 nd Week of September
v	Mid Semester Exams	2 nd Week of March	2 nd Week of November
vi	Session Ends	2 nd Week of May	2 nd Week of January
vii	Semester End Exams	3 rd Week of May	3 rd Week of January
viii	Results Announcement	1 st Week of June	1 st Week of February
ix	Issue of grade card	3 rd Week of June	3 rd Week of February

* This calendar is only indicative and the exact dates would be notified separately, before the beginning of each semester.

D.4.9 Ph.D. Supervisor(s) and Advisor(s)

Main Supervisor:

Once the Supervisor is allotted, officially, the Scholar can discuss the problem in detail and evolve a roadmap to plan the research activities together with the Supervisor/s.

The relevant form for requesting allotment of the Main Supervisor is available in the Office of Research and Innovation. The Main Supervisor will necessarily be from a Faculty of the University.

Co-Supervisor:

A Scholar can have a maximum of 3 Supervisors. If the Main Supervisor and the Scholar feel that they need additional help from other experts, in the subject, they should submit a written request to the Doctoral Committee for recommending the names of other Supervisors. A co-supervisor can be an expert with a Ph.D., either from within the

department or from other departments of the University or from Industries / Institutes of repute depending on the expertise required. In exceptional cases, the committee can also recommend an expert without Ph.D. from an Industry, who is having exceptional track record of publications/patents/product commercialization as co-supervisor. However, an application needs to be submitted by the co-supervisor external to the University, along with his/her resume and No Objection Certification (NOC) from his/her employer, to the doctoral committee for its approval. The Doctoral Committee will take a decision in this regard. Such a Research Supervisor will not be paid any remuneration by the University as this service is considered purely as an honorary service.

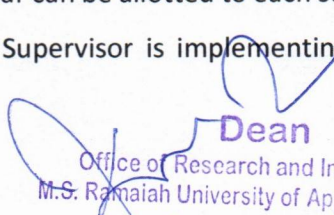
The External Supervisor is, however, required to follow the rules regarding confidentiality, non-disclosure and IPR policies of the University for the Ph.D. programme under consideration. The recommendation of the committee should reach Dean – Office of Research and Innovation, following which a Ph.D. confirmation letter will be issued to the candidate. The list of Supervisors is finalized before submission of the Statement of Research Problem to the Office of Research and Innovation. An expert with a Ph.D. qualification from a reputed University and sufficient Teaching/Research/Industrial experience (equivalent to atleast an Associate Professor) but not employed in the University may also be considered for appointment as a Co-Supervisor.

Advisor:

Research Scholars may sometimes find it essential to consult experienced individuals in Industry, Research Organizations or Academia for their research work on a regular basis even if that individual does not have the required qualification to become a Research Supervisor. Such an individual may be considered as an Advisor and he/she must be suitably acknowledged in the thesis and other publications arising out of the programme. An application for an Advisor after PRP - 3 will not be entertained by the Doctoral Committee. The necessary forms to apply for Co- Supervisor(s) or Advisor(s) are available in the Office of Research and Innovation.

Eligibility criteria to be a Research Supervisor, Co- Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

A Research Supervisor/Co-Supervisor who is a Professor cannot guide more than eight (8) Ph.D. scholars at any given point of time. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars (including co-supervision) and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars. One additional research scholar can be allotted to each supervisor over and above the allotted number provided the Research Supervisor is implementing a major sponsored research project. Further, each


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Research Supervisor/Co-Supervisor can guide two international students on a supernumerary basis. At any point of time the total number of candidates under a research supervisor shall not exceed the number as prescribed above including the candidates under co-supervision.

However, in the disciplines where the terminal degree is a Post Graduate Degree (Health Sciences related faculties including Allied Health Sciences), a faculty having the following requirement, can be the supervisor (as per ICMR guidelines):

- *A faculty should possess Post Graduate degree in the concerned specialty with a total teaching experience of 15 years and PG teaching experience of 10 years in the concerned subject and should have guided or co-guided 5 Post graduate students whose dissertations must have been submitted. In addition he/she should have published 5 original publications as 1st or corresponding author in indexed Journals.*
- *In the faculty of Physiotherapy, in addition to MPT, qualification of MD or MS in relevant subjects of Medical faculty such as Orthopaedics, Respiratory Medicine, Paediatrics, Community Medicine, MD (OBG), DM (Neurology) and MCH (Cardiothoracic Vascular Surgery) are also eligible.*

Note: The Research Supervisor should declare the number of Ph.D. scholars registered with him/her periodically to the University/College. He/she cannot increase the number by using recognition from multiple universities/colleges.

The allocation of Research Supervisor for a selected research scholar shall be decided by the concerned Department Doctoral Committee depending on the number of vacancies available with a Research Supervisor, the available specialization among the Supervisors, and research interests of the scholars as indicated by them at the time of interview/viva voce.

In the case of topics which are inter-disciplinary and where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the Doctoral Committee may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/Faculty/College/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions.

The Supervisor's obligations and Roles/Responsibilities of Supervisory Team

It is supervisor's responsibility to ensure at all formalities described in the PhD Regulations and also in the Ordinances of HEIs are fulfilled.

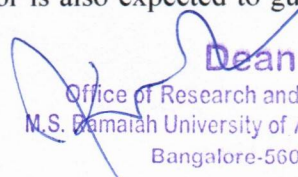
The supervisor is also expected to guide the Ph.D. scholars in other related issues of teaching



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skills and career guidance. The supervisor's responsibilities include information and advice to scholars on all aspects related to the PhD programme while focusing on guidance on academic aspects of research activities. This may include regular meetings with a scholar (typically once a week unless restricted due to reasons otherwise). The supervisor should ensure relevant and adequate advice on important aspects such as involvement of additional supervisors where deemed appropriate, whether the proposed PhD project is feasible within the given time frame, whether the project has the potential to lead to new results of significantly high standard of an international level PhD thesis, and whether the scholar has sufficient time to enable him to have a realistic opportunity for submission of thesis. It is envisaged that an ideal PhD programme necessitates a good working relationship between the student and the supervisor from the beginning of the Ph.D. programme and they have reached an agreement on the demands and expectations from each other. The responsibilities of the supervisor include:

- Regular contact with the Ph.D. scholars, and discuss to see if the ideas are good for the research project and be accessible at appropriate times for consultation and ensure that the research diary is maintained by the Research Scholar
- Guiding the scholar about the choice of relevant courses, journals for the publications, patents and conferences related to the field
- Advising the scholar for contacting relevant national and international organisations in the area of research
- Assisting the scholar on incorporation of knowledge dissemination element in the course of study
- Regular review and feedback on the PhD project
- Preparation of the final statement from supervisor summarizing the overall PhD programme at the time of PhD thesis submission
- Active participation in the assessment and PhD defense,
- Supervisory team should be conversant with the current regulations of the University Academics regarding the Ph.D. degree programme
- Ensure all paperwork/stages of progression are completed within the prescribed time-limits
- Ensure that Research Scholars complete specified courses on time
- Be accountable to the University for the satisfactory progress of the Scholar's research programme
- Read any written document that the Research Scholar has produced and provide constructive criticism on the work within a specified time period
- Be in a position to advise the Research Scholar on Safety, IPR and Ethics related issues

together with the University's general and the relevant academic Regulations

- Play an active role in introducing the Research Scholar to other researchers, appropriate academic bodies and learned societies within the chosen field
- Ensure that the Research Scholar is made aware of the progress or if the standard of work is unsatisfactory and arrange for appropriate supportive action where necessary
- Devote sufficient time, after managing all other responsibilities, to dedicate to the needs of the Research Scholars
- Guide and ensure that the Research Scholars prepare for PRP, prepare presentations, prepare papers for Conference and Journals and prepare the Thesis for submission as per the RIC's / University's requirements
- To nurture the young Faculty Member into research guidance for smooth conduct of Research Scholar's programme, a research supervisory team consisting of Faculty Member with experience of research supervision and a young Faculty Member with no prior experience of independent research supervision will be insisted on case-to-case basis.

D.4.10 Ph.D. Research Problem Statement

A Research Scholar is required to submit his/her Statement of Research Problem as part of PRP-2 in accordance with the guidelines for approval of the selected Problem by the Doctoral Committee. The relevant form for this purpose is available in the Office of Research and Innovation. The Doctoral Research thesis should demonstrate significant and original contributions to the chosen field of study. The solution techniques chosen, the interpretation/critical analysis of the results should exhibit advanced technical and research skills.

D.5 Credit Scheme and Credit Structure

D.5.1 Credit Definition

15 hours of study/research work is equivalent to one credit. At the time of submission of the thesis, the Scholar must have secured at least **16** credits as per the credit accumulation sheet and must have passed **PRP reviews 1 to 6**.


D.6 Course Details

D.6.1 Course Registration

A Research Scholar is mandatorily required to register for Research Courses as indicated in the programme structure given in D4.7. The Research Scholar is eligible for the corresponding credits upon successful completion of the registered course(s) and will be awarded credits in the subsequent PRP. Research scholar, with the advice of his supervisor/s, can also earn credits of technical courses by undergoing assessment in online


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platforms such as SWAYAM, Coursera, etc.

D.6.2 Course Work: Credit requirements, number, duration, syllabus, minimum standards for completion, etc.

D.6.3 Minimum number of the credit requirement for the Ph.D. programme should be at least 12 credits and a maximum of 16 credits.

The coursework shall be treated as a prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, qualitative methods, computer applications, research ethics, and review of published research in the relevant field, fieldwork, etc.

Students who register for Ph.D. directly from four-year undergraduate with research will have to undertake 6-8 credit courses (at Ph.D. level) about relevant skills/research techniques/domain-specific subjects offered by the University.

All Ph.D., entrants irrespective of discipline, shall be required to take credit-based courses in teaching/education/pedagogy/writing related to their chosen Ph.D. subject during their doctoral training period. Other courses shall be advanced-level courses preparing the students for the Ph.D. degree. Lifelong learners/ accomplished researchers as evinced from their original contributions in terms of patents granted or new relevant knowledge or/and artistic practices desirous to get a research degree the Research Advisory Committee / Doctoral Committee may provide choices in selecting the courses/ credits that facilitates the entrepreneur in the monetization of IP thus generated. Credits earned for completed course work are transferable from one institution to another institution through the Academic Bank of Credits. All fresh Ph.D. entrants, irrespective of discipline, will be required to take credit-based courses in teaching/education/pedagogy/writing related to their chosen Ph.D subject during their doctoral training period. Ph.D. scholars may also have 3-4 hours per week of actual teaching experience gathered through teaching assistantships or other forms of knowledge dissemination that are not repetitive. All dissemination activities including External presentations and posters, popular articles conveying scientific information (or scientific articles) to the general public, production of books, commissioned research and Internal presentations must be approved by the Doctoral Committee. Teaching for the Department, supervision of fellow students/technical staff, dissemination tasks can also

be credited as knowledge dissemination and as a work commitment.

All courses prescribed for Ph.D. course work shall conform with the credit hour instructional requirement and shall specify the content, instructional, and assessment methods. They shall be duly approved by the authorized academic bodies.

The Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the Doctoral Committee, as stipulated under sub-Clause 8.1 below, of the research scholar.

All candidates admitted to the Ph.D. programmes shall be required to complete the course work prescribed by the Department during the initial one or two semesters. In case of pandemic like situation, provision of blended mode should be made available.

Candidates already holding M.Phil. degree and admitted to the Ph.D. programme, or those who have already completed the course work in M.Phil. and have been permitted to proceed to the Ph.D. in an integrated course, may be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. coursework prescribed by the Department. Provided that, the candidates sponsored/authorized by the Govt. of India institutions/organizations who work for their Ph.D. degree in a University under an MoU/exchange programme/Govt. of India scheme, etc. may be exempted from Ph.D. course work provided they produce a certificate of completing a course work of equivalent duration/credit from their respective institution/organization.

Grades in the course work, including research methodology courses shall be finalized after a combined assessment by the Research Advisory Committee and the Department and the final grades shall be communicated to the Institution/College.

A Ph.D. scholar has to obtain a minimum of 55% of marks or its equivalent grade in the UGC 10-point scale (or an equivalent grade/CGPA in a point scale wherever grading system is followed) in the course work in order to be eligible to continue in the programme and submit the thesis.

D.7 Attendance and Progress Monitoring

Research Scholars may download the **Scholar's Diary** from the University's website at the time of registration to the Ph.D. programme. A Full-Time Research Scholar should have at least one entry per week evidencing the meet with his/her Supervisor for discussion on his/her research topic (for a Part-Time Research Scholar this entry should be made at least once every fortnight). A record of technical discussions and any suggested action points

should also be stated in the diary. If a Research Scholar is away, the Research Scholar must communicate, in writing (preferably by e-mail), with the Supervisor which will also be entered in the diary. Failing to do so may make the Research Scholar ineligible to register for the subsequent PRP. The original diary of the Research Scholar will be in the custody of the Research Scholar, and he/she is expected to produce the diary for inspection during PRP reviews and at the time of thesis submission.

D.7.1 Temporary Absence of Research Scholars

There are no specific leave rules for either the Full-time or Part-Time Research Scholars. However, a Full-Time Research Scholar who wishes to avail leave of absence due to illness and personal reasons must keep the Supervisor informed through written communication. The above procedure is applicable only in the case of short leave of absence (less than a week). For any long leave (more than one week and less than 30 days) of absence the Research Scholar (both Full-time and Part-time) should keep the supervisory team informed and the leave so availed should be entered into the Scholar's diary by the Main Supervisor. Research Scholar is required to ensure that a record of leave availed by the Research Scholar is made available to the main Supervisor. The Office of Research and Innovation should be kept informed.


D.7.2 Guidelines to Handle Research Scholars who are not Regular in their Studies

A Research Scholar is required to meet his/her assigned Supervisor(s) on a regular basis (weekly once for Full-Time and once every fortnight for Part-Time Research Scholars). If a Research Scholar skips two successive regular meetings without valid reasons, the supervisory team can, *suo moto*, bring it to the notice of the Dean – Office of Research and Innovation and Dean may advise the Research Scholar to discontinue his/her studies or re-register for the next available opportunity. If the Research Scholar has valid reasons, he/she is expected to submit all the evidence and supporting documents to the Office of Research and Innovation through the supervisory team for its review and consideration. The Supervisory team has to send a letter to the Dean - Research and Innovation citing the Research Scholar's sporadic attendance or absence, along with a signed copy of the meeting logbook. The Dean - Research and Innovation may seek an explanation from the Research Scholar and give him/her sufficient time (not exceeding 15 days) to provide his/her response. Based on the reply received or in the event no response is received the Dean - Research and Innovation in consultation with the Doctoral Committee will take a decision on whether or not to allow the Research Scholar to continue the Programme.

D.7.3 Guidelines for 'Break of Studies'

If a Research Scholar wishes to suspend research work for a period not exceeding one year, he/she may submit an application, through the Supervisor(s), requesting the permission of


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the Doctoral Committee for 'break of studies'. The necessary form, for making this application, can be obtained from the Office of Research and Innovation. Along with the application, necessary documents are to be submitted supporting the reason cited for the requested 'break of studies'. The Doctoral Committee may accord approval for such a case and approve the Research Scholar's request to re-register at a later date and inform Office of Research and Innovation. Where a Research Scholar suspends studies without the prior approval of the Doctoral Committee, any subsequent request for re-registration to the Programme by the Research Scholar may not be entertained by the Doctoral Committee. In all such cases the decision of the Doctoral Committee will be final without the possibility of any kind of appeal.

D.8 Assessment and Quality Monitoring

D.8.1 Doctoral Programme Progress Assessment

Progress Review Panels / Doctoral Committee

The PRP / Doctoral Committee is a panel comprising members approved by the Dean - Research and Innovation for reviewing the progress of each Research Scholar. The panel consists of an independent Chair, 3 Examiners (one examiner may be external to the University, drawn either from Industry / Research institutes of repute) and the Supervisor(s). The panel reviews the progress of each Research Scholar based on the written reports submitted by the Research Scholar and a 20 minute presentation. Efforts will be made to maintain the same panel for the entire Ph.D. programme cycle of the Research Scholar. The constitution of the PRP is described in the subsection D.3.2 on Committees.

D.8.2 Guidelines for Conducting PRP Review of a Research Scholar's Progress

Each Research Scholar is required to make a presentation on the progress made in his/her research topic to the PRP at the end of each semester in the format prescribed by the Office of Research and Innovation. The Research Scholar should submit 3 copies of the progress report to the Doctoral Committee one week in advance. The Supervisors are only observers at the PRP and they do not have the right to defend or prompt the Research Scholar when he/she is presenting the report during the PRP. The PRP will allow the Research Scholar to make a 20 minute presentation in a specified format and this is followed by about 30 minute question and answer session. At the end of the PRP session, at least 10 minutes time is reserved for Panel Members to make their recommendations to the Research Scholar. At the end of the PRP, the Panel will declare the result (Pass or Fail) and award the credits earned. If the progress demonstrated by the Research Scholar is considered unsatisfactory, the PRP may declare the progress as '**Unsatisfactory**' which is equivalent to a '**Fail**' result. Based on the PRP's recommendation the Doctoral Committee will enter the credits earned in the Credit Accumulation Report after it has been ratified by the Doctoral Committee before

issuing the Research Scholar a signed copy of the Credit Accumulation Report.

Convening the PRP is the responsibility of the Main Supervisor and the Faculty / Department Doctoral Coordinator will send a reminder in this connection at least three weeks in advance. After the PRP review is over, the Main Supervisor will forward the report to the Faculty / Department Doctoral Coordinator. All the documents must be maintained in the candidate's file in the custody of Faculty / Department Doctoral Coordinator, which is required to be submitted to Office of Research and Innovation during the submission of thesis.

D.8.3 Guidelines for a Research Scholar Failing in the PRP

If a Research Scholar's progress is found to be unsatisfactory by the PRP, the PRP declares a 'Fail' result. The Research Scholar will be advised to make up for the deficiency and present the progress in the next PRP. If a Research Scholar fails, he/she loses the credits associated with the period of six months (nine months in the case of Part-time Research Scholars) of his/her study. If the Research Scholar fails again to make up the deficit in the extended period, he/she may be advised to discontinue his/her research studies. However, if the Research Scholar has valid reasons for his/her unsatisfactory progress, the Doctoral Committee may take this into consideration and provide the Research Scholar with an appropriate extension of time not exceeding 6 months (nine months in the case of Part-Time Research Scholars). Beyond this point, any request for further extensions will be denied:

- If a Research Scholar fails to earn credits in a given PRP, he/she is allowed to attend the next PRP and make up the shortfall in credits (from the previous PRP). If a Research Scholar gets "Unsatisfactory" result in a given PRP in both the first and subsequent attempts, then the Research Scholar will not be eligible for assessment of next PRP till he/she satisfactorily completes the previously attempted PRP
- If a Research Scholar is not able to be present at a particular PRP, he/she must have taken prior, written permission from his/her supervisory team and the approval of the Doctoral Committee. If he/she has failed to do so a "FAIL" result will be declared and the Research Scholar will be treated as a Research Scholar who has failed in that PRP
- The progress reports submitted by a Research Scholar to the PRP should have the signatures of the Members of the Supervisory Team. In case the Members of the Supervisory Team have conflicting opinions about the progress report of Research Scholar, the matter must be brought to the notice of the Doctoral Committee (and Dean – Office of Research and Innovation if required) to resolve the issue.

D.8.4 Thesis Submission

A Research Scholar is required to submit 3 copies of color-printed thesis (in the specified format available in the Office of Research and Innovation) for evaluation by the panel of


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Examiners. The thesis is to be submitted to the Office of Research and Innovation. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. A plagiarism report showing similarity index less than 10% should be enclosed with the thesis. The supervisor (and co-supervisor, if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission. Along with the thesis, the Supervisory team should suggest a panel of potential Examiners in the specified format which should be submitted to the Office of Research and Innovation in a sealed envelope. At the time of thesis submission, the Research Scholar should ensure that he/she has secured the minimum credits and published in at least two refereed/cited journals alongside presenting his/her work in at least two reputed Conference Proceedings (the Research Scholar should have personally presented the research work at the Conference). In addition, publishing / grant of patents / Commercialization of a product / building of a prototype based on the outcome of the research/ submitted a policy to the government or government agencies may be considered. The thesis submission form should accompany the Thesis Evaluation Fee and the Research Scholar must have cleared all outstanding Fee dues and obtain a confirmation to this effect from the University's Accounts Officer. The soft copy of the thesis should be uploaded on Shodhganga website (<https://shodhganga.inflibnet.ac.in/>) and the document ID obtained after uploading the thesis be submitted to Office of Research and Innovation. The bound hard copy thesis has to be submitted to the Main Supervisor who, in turn, is required to forward it with his signature. Where this procedure is not followed the Research Scholar is expected to provide written justification for not doing so. The Thesis Submission Form should be enclosed with a sealed cover which should carry the names of the up to 4 Examiners from India and up to 4 Examiners from abroad duly evidenced by the Supervisor(s).

Note: An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarized text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the Research Supervisor (or Co-Supervisor) suspects plagiarism, he or she may ask for an investigation.

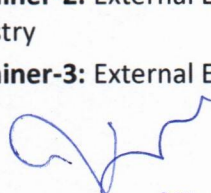
D.8.5 Ph.D. Thesis Evaluation


A Thesis submitted will be evaluated by three Examiners, namely:

Examiner-1: One of the Members of the Research Scholar's PRP (Usually the Supervisor)

Examiner-2: External Examiner – from Indian University or Research Organization or Industry

Examiner-3: External Examiner – from any Overseas University /Research Organization


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Vice Chancellor of the University will choose examiner – 2 from the list of Indian Examiners and examiner – 3 from the list of foreign examiners. The Thesis will then be sent to three examiners who will be requested to evaluate it within 2 months. The Office of Research and Innovation will decide and facilitate the honorarium for thesis evaluation. The Examiners are required to submit the evaluation report in a specified format. A **Satisfactory** report from all the three examiners is required for the thesis to be accepted and to be eligible for scheduling a Viva Voce.

D.8.6 Ph.D. Viva-Voce Procedure

A satisfactory report by all the three Examiners of the student thesis is a must for the arrangement of Viva-Voce. If any one of the Examiners does not give a satisfactory report after the review of thesis, the thesis will not be considered as accepted. However, if the Examiner(s) recommend the re-submission of the thesis, then the Research Scholar is required to revise the thesis based on the suggestions from the Examiner(s) and re-submit the Thesis within the next six months. The format for requesting a thesis re-submission is available in the Office of Research and Innovation. If the PRP finds the revised Thesis to be satisfactory, the PRP may declare it as an affirmative acceptance. In case of any confusion or conflict, the PRP may choose to send the revised thesis to the same Examiner(s) for re-review. If the revised thesis is accepted by the corresponding Examiner(s), the Viva- Voce examination will be scheduled.

At least two of the three examiners who have evaluated the thesis and an independent chair will constitute a panel to conduct the Viva-Voce Examination. The members of the Viva - Voce examination will be constituted by the Dean – Office of Research and Innovation (refer to subsection D.3.4) and a date for the examination will be notified to the Research Scholar and the Viva - Voce Examiners. The supervisory Team may attend the Viva-Voce examination if the Research Scholar desires so. However, the Supervisory Team will not participate in the examination process and decision making. The Research Scholar is required to present his/her work for about 20 minutes and the format of presentation should follow the guidelines specified by the Office of Research and Innovation. The question and answer session will be held after the presentation. The Independent Chair in consultation with the other examiners will prepare a report in a specified format and submit it to the Dean – Research and Innovation. Based on the recommendations of the panel of Viva-Voce examiners, a decision on the award of the Ph.D. degree to the Research Scholar will be made by the Dean- Research and Innovation. Based on the recommendation of the evaluation committee and Dean – Research and Innovation, to award the degree, a notification from the Office of Registrar will be issued announcing the award of the degree. If the Research Scholar's performance in the Viva-Voce examination is found to be **Unsatisfactory**, the panel of Viva-Voce Examiners will be advised to prepare the report accordingly and submit it to the


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Dean - Research and Innovation to arrive at an appropriate decision.

The University shall complete the entire process of evaluating a Ph.D. thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

D.8.7 Award of Ph.D. Degree

The University will award the Ph.D. Degree to the Research Scholar in the first available Convocation of the University. Nevertheless, within fifteen days of successful completion of the Viva-Voce, the Office of the Registrar will issue a Provisional Certificate to the Research Scholar.

D.9. Degree Certificate

The Degree Certificate, issued under the University seal, will have the Research Scholar's name, the name of the degree awarded, the name of the concerned Department as well as Faculty, and the title of the Thesis. The Degree Certificate will bear the signature of the Vice-Chancellor of the University.

D.9.1 Convocation

A Convocation Ceremony will be held once every year. The Research Scholar will be awarded the Ph.D. Degree Certificate by the Vice Chancellor or his/her nominee (Normally –a Pro Vice Chancellor) during the Convocation Ceremony. The Degree will be awarded in the presence of the University's Mace. Graduating Research Scholars who are unable to attend the Convocation can apply for award of the degree *in absentia* after paying the prescribed fee.

D.9.2 Corrections in Grade Cards and Certificate

A Research Scholar can apply for correction in any transcript and/or degree certificate issued by the University within six months from the date of issue.

D.9.3 Issue of Reprint of Transcripts, Degree Certificate

In the event of a Research Scholar losing the original transcripts or degree certificate, he/she can apply for issue of re-printed documents. Re-printed transcripts will be issued against payment of the prescribed fee. The reprints will carry the caption "Duplicate"

D.9.4 Inter University Transfer of Research Scholars

Inter-University transfer of Research Scholars is not permitted.


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D.10 Other Academic Matters**D.10.1 Missing a Course / Failure to Complete a Course**

If a Research Scholar is unable to complete a course due to any reason leading to non-assessment, the Research Scholar is required to re-register for that course in the next offering.

D.10.2 Guidelines for Change of Research Supervisor by the Research Scholar

A Research Scholar during the research period may find it necessary to change the Supervisor(s) for a variety of reasons including superannuation, resignation, death, incompatibility etc. In such situations, a Research Scholar can request the Doctoral Committee to allot a new Research Supervisor. The Doctoral Committee needs to take a decision after taking into account the recommendations of the other members of the Supervisory Team of the Candidate. The format for making an application requesting a change of Supervisor is available in the Office of Research and Innovation. Normally, decision about the change of supervisor will be completed within 30 days of the receipt of written request. If the scheduled PRP of the Research Scholar falls within the duration of stated 30 days, that PRP of the Research Scholar will be deferred till decision is arrived about the change of Supervisor. If the change of supervision results in extension of the duration of the research programme, the Research Scholar shall bear the fee for the extended duration. However, if the change of Supervision is as a consequence of unforeseen circumstances (death, resignation, termination of supervisor or suggestion for change of topic by the Supervisor) which are beyond the control of Research Scholar, University shall decide the fee for extended duration if any.

D.10.3 Guidelines for Change of Research Topic / Title by the Research Scholar

A Research Scholar may at some point of time find that it is difficult to continue with the current research topic which has already been approved at PRP-2 and would like to start with a new topic. In such an instance the Research Scholar is required to submit a written request to the Doctoral Committee within 18 months from the day of Registration. The Doctoral Committee, after deliberations, may permit the Research Scholar to take up a new study plan. The topic cannot be changed by the Research Scholar more than once in the Ph.D. programme cycle. If the topic change involves change of supervisor(s), the guideline suggested in Section D.10.3 should also be followed.

In some cases, while the main topic and the objectives remain the same, a minor deviation may be needed. Such a case is termed as 'Title Change'. The Research Scholar along the Supervisory Team should bring this matter to the notice of Doctoral Committee through the PRP report and have this ratified. In any event a request for title change will not be permitted


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more than twice in the duration of Ph.D. programme of the Research Scholar.

The format for requesting a change in topic or title can be obtained from the Office of Research and Innovation. In such cases, the time period that should not be accounted for the duration of the Ph.D. programme, and it will be recommended by the respective PRP and approved by Dean – Office of Research and Innovation in consultation with Doctoral Committee.

D10.4 Guidelines for Research Scholar for Withdrawing from the Ph.D. Programme

For unforeseen reason(s) if the Research Scholar wishes to withdraw from the Ph.D. Programme, he/she is expected to submit a request letter along with the No Dues Certificate in the format specified by the Office of Research and Innovation. Only an un-conditional request letter will be entertained. Final settlements, if any, will be considered only after the approval of the request by the Doctoral Committee. Those who withdraw from the Ph.D. programme cannot make any claims with respect to any subsequent publication, patent or any such Research Scholarly benefits. Upon the request by the Research Scholar the University can issue a Certificate stating the academic record of completed courses along with credits after the payment of stipulated fee.

If a scholar has availed free ship/fellowship/any financial assistance from the University and wishes to withdraw from the Ph.D. programme, he/she is required to reimburse the entire amount to the University and complete the remaining withdrawal formalities. Any exceptions to this are required to get the approval of the Vice Chancellor.

D.10.5 Research Scholars Grievances and Redressal Committee


The provision of Research Scholars Grievances and Redressal Committee is described in Chapter 8 of the MSRUAS Statutes.

D.10.6 Guideline on IPR generated by the Ph.D. Research Scholar

The provision governing Intellectual Property that is generated by a member of the University is as described in Chapter 9 of the MSRUAS Statutes.

D.10.7 Guideline for Obtaining Clearances from Ethics Committee

If a Research Scholar's work needs clearance from an Ethics Committee (for the constitution of the Ethics Committee refer to the subsection on 'Committees'), the Research Scholar and the Supervisory Team are expected to prepare the necessary documents for obtaining clearance with the guidance of the Dean-Office of Research and Innovation. Research involving animal or human participants, animal or human materials, personal information, or involving clinical trials, or combinations of such studies, require Ethics Committee approval.


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Policy for Research Promotion




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[First Version Approved by the Board of Governors at its Meeting held on
26/09/2014 vide Resolution Ref. No.: 3.1e]
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31/03/2021 vide Resolution Ref. No.: 3]

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Research @ RUAS

Background

Ramaiah University of Applied Sciences (RUAS), sponsored by Gokula Education Foundation (Medical), was established as a private University under an act of Government of Karnataka vide notification dated 30 December 2013. The University started academic activities from the year 2014-15 at its two campuses, namely: Gnanagangothri Campus (predominantly for Health Sciences) and Peenya Campus (for Engineering Sciences). The statement ***“Research is Neither a First Step nor a Last Step But it is only a Next Step”*** embodies the philosophy and the underlying principle of a research endeavour. Under the contextual periphery of this statement, research is a perennial journey and is an entity with conglomerate perspectives of the past, present and the future. As a Comprehensive & Multidisciplinary University, RUAS embraces Research and Innovation ecosystem through four verticals, namely: Academics, Research, Training & Lifelong Learning and Consultancy. RUAS has recently introduced new UG Programs in emerging domains of Research like B.Tech in AI & ML and Mathematics & Computing along with specialized Programs in Allied Health Sciences such as Public Health, Hospital Administration, Bio-Technology and Food Technology.

According to Dr. A.P.J. Kalam ***“Learning gives Creativity; Creativity leads to Thinking; Thinking provides Knowledge; Knowledge makes you Great”***. Taking cue from this inspiring words, the Faculty Members are keenly developing a research capability in evolving and exciting disciplines of AI & ML, Hypersonics, Computational Fluid Dynamics, Electromagnetics, Communication Engineering, Biomaterials, Allied Health and Life Sciences, Bio-Medical Engineering, Drug Delivery System, Oral Cancer and Computational Sciences. To facilitate multidisciplinary research Centers of Excellence in ‘*Computational Mechanics*’ and ‘*AI, ML and Autonomy*’ are established. The University has in place active initiatives such as establishment of Research partnerships with premier Universities of International Stature (UIC, UIUC, TAMU, USC), Defense and Space Laboratories, Distinguished Visiting Professorships, and Prestigious Lecture by renowned Specialists. Recently RUAS has initiated Multidisciplinary Research Meetings and Journal Clubs, Multidisciplinary Research Fellowships (Postdoctoral and Ph.D. Fellowships). For Example: International Infectious Disease and Global Health Training Program (IIDGHTP) to augment both the capacity and the capabilities of associated Faculty. In response to COVID-19, Ramaiah Group and its international collaborators are collating a multidisciplinary focused special compendium addressing the needs of the scientific community including policy and programs.

Summarizing, RUAS envisages to be a premier Research and Innovation University of International Stature in the coming decade with the state-of-the-art laboratory facilities, libraries, resource centers and the proven Global educational practices.



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Research Promotion and Management – Research Innovation and Council

The Research Promotion activities and initiatives are governed by the Research and Innovation Council (RIC) of the University. The Members of RIC include:

Sl. No.	Name	Designation	Membership
1	Prof. K.K. Raina	Vice Chancellor	Chairperson
2	Prof. Govind R. Kadambi	Pro-Vice Chancellor - Research	Member-Secretary
3	Prof. Sundaresh D.C.	Pro-Vice Chancellor - Health Sciences	Member
4	Prof. Anindya Sen	Pro-Vice Chancellor - Social Sciences	Member
5	Prof. M. Saibaba	Registrar	Member
6	All Deans	Dean - Academics/Faculty/School	Member
7	Prof. J.N. Reddy	Regent Professor, Texas A&M University, USA	Member
8	Prof. B.N. Raghunandan	Retd. Scientist, IISC - Bangalore	Member
9	Prof. V. Prakash	Retd. Distinguished Scientist and Former Director CFTRI, CSIR-India	Member
10	Prof. A. Anantharaman	Provost, XIME and Visiting Professor, Harvard Business School	Member
11	Dr. N. Venkateswaran	Formerly with ABB Global Industries & Services Pvt. Ltd.	Member
12	Dr. S. Srinivasa Rao	CVRDE – DRDO, Chennai	Member
13	Dr. M.S. Muthumurugan	Sri Ramachandra University, Porur - Chennai	Member
14	Dr. T. Thangamariappan	Biocon Bristol Myers Squibb R & D Centre, Bangalore	Member
15	Dr. K.M. Sharath Kumar	Director – Research	Member


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Aim of the Research Promotion Policy

The aim of the Research Promotion Policy is to provide guidelines for Faculty Members to carry out contemporary Scholarly work. The promotion activities of the Research Division are broadly categorized into Academic Research, Sponsored Research and Industrial Consultancy. The Table 1 highlights the Policy decisions of RUAS for these criteria:

Table 1: Policy Decisions Pertaining to Research Division

Sl. No.	Criteria	Academic Research	Sponsored Research	Industrial Consultancy
1	MoUs and Non-Disclosure Agreement	X	√	√
2	Incentives	X	√	√
3	Fee Concession to Employees	√	X	X
4	Seed Money to Initiate Research	X	√	X
5	Research Centers and Center of Excellence	√	X	X
6	Support for Organizing Events (Conference, Seminars, Workshops etc.)	√	X	X
7	Support for Presenting Papers at Conference	√	√	√
8	Examiner Remuneration	√	X	X
9	Supervisor Selection for Research Programs	√	X	X
10	Submission of Proposals to External Funding Agency	√	X	√
11	Utilization of Expert Services from External Member/Agency	X	√	√
12	Accessing External Facilities	√	√	√
13	Internal Resource Utilization by Externals	√	√	√
14	Financial Support to Ph.D. Scholars	√	√	√
15	Utilization of Received Grant by the Principal Investigator for Project Execution	X	√	√


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1. MoUs and Non-Disclosure Agreement

RUAS encourages Faculty Members to undertake collaborative projects with Universities, R&D Organizations, Industries and Public Sector Undertakings. The University signs collaborative research agreements and Non-Disclosure Agreements (NDAs) with Organizations/Institutions pursuing Research on topics of mutual interest to provide a platform for Faculty Members to carry out contemporary research.

The MoUs and NDAs shall be signed for Sponsored Research and Industrial Consultancy Projects. In case of Sponsored Research, the University shall sign and provide declaration as per the format provided by the Funding Agency. With regard to Industrial Consultancy, the NDA shall be executed as per the Standard Template of University or mutually agreed Industry template.

All signed MoUs and NDAs shall be in the repository of Registrar's Office. The Research Division shall coordinate the execution of MoU & NDA process and the concerned Faculty Member or Principal Investigator (PI) shall be requested to contact Director – Research. On behalf of RUAS, the Authorized Signatories for MoUs and NDAs shall be the Registrar and the Vice Chancellor of the University.

2. Incentives

In addition to the Research heritage of successfully completing the Sponsored Research and Industrial Consultancy projects, the Faculty Members are eligible for Incentives. The details of Incentive Policies are as follows:


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2.1 Incentive Policy for Sponsored Research

The Incentive Policy is explained in Table 2:

Table 2. Incentive Policy for Completing Sponsored Research Project

Sl. No.	Value of Sponsored Research Projects	Incentive (%)	Notes
		PI and Team	
1	Grants Awarded for Purchase of Equipment (upto Rs. 50.00 Lakhs)	5 % of Equipment Value	PI may at his/her discretion choose to share the incentive with other staff. RUAS to be advised by PI on such sharing ratios
2	Grants Awarded for Purchase of Equipment (exceeding Rs. 50.00 Lakhs)	7.50% of Equipment Value	

2.2 Incentive Policy for Industrial Consultancy

Faculty Members engaged in Consultancy Projects are remunerated for the time spent and depending upon the scope and nature of the work (case to case basis). The Consultancy Policy is drafted on lines similar to Incentive Schemes of Sponsored Research and Training & Life Long Learning Division. Broadly, it is proposed that the net surplus earned from the Consultancy activities be shared in the ratio of 60:40 as between the Investigating Team and the University respectively.

3. Fee Concession to Employees

The University is aspiring that all the Faculty Members shall have Doctoral Degree in the Years to come. In view of this, the Faculty Members are encouraged to register for Research Programs of RUAS. Moreover, 50% reduction in the annual tuition fee is offered to the Staff Members of RUAS. More than 100 Faculty Members are currently pursuing Research Programs at the University. Faculty Members may also register for Ph.D. in other Institutions/Universities of repute.

4. Seed Money to Initiate Research

The University has two Center of Excellence (AI, ML and Autonomy and Computational Mechanics) and 21 Research Centers. These Centers are inter-disciplinary and Faculty Members are encouraged to have association with at least one of the Research Centers. In order to support preliminary research and protect intellectual interest of Faculty Members,

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there is a provision for availing Seed Money from RUAS to carry out research. The application for Seed Money will be applied routed through an appropriate administrative chain (Heads of Research Center/Department, Dean and forwarded for approval to Pro Vice Chancellor's and Vice Chancellor's office). The application for Seed Money is available with the Research Division (Annexure 02). Figure 1 illustrates the process for seeking Seed Money at RUAS:

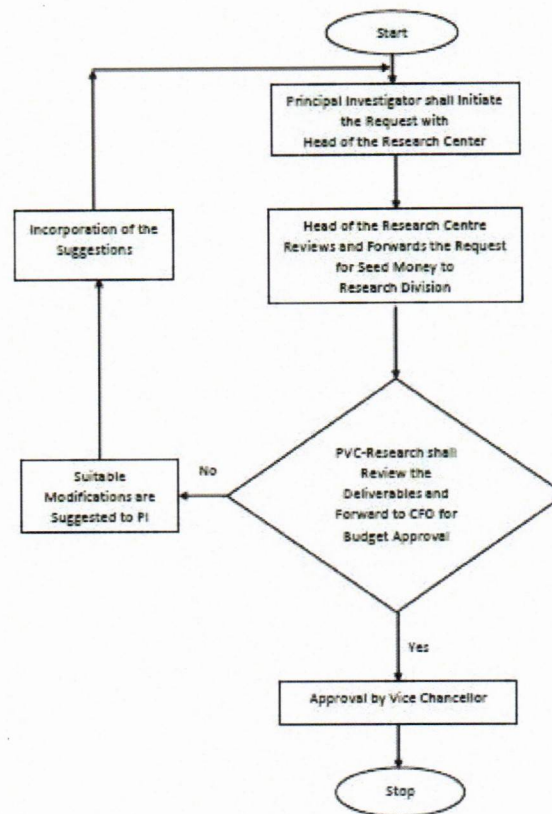


Figure 1. Process for Seeking Seed Money

5. Research Centers and Center of Excellence

In order to encourage multi and inter-disciplinary research, the University has created two Center of Excellence (*AI, ML and Autonomy and Computational Mechanics*) and 21 Research Centers. The details of Research Centers and Center of Excellence are as follows:

5.1 Research Centers

The University has 21 Research Centers to carry out inter-disciplinary research. Every Faculty Member shall be associated with at least one Research Center. The details of 21 Research Centers include:

- 1 Automotive Technologies Research Centre
- 2 Centre for Aeronautical and Micro Air Vehicles Research
- 3 Energy and Power Systems Research Centre
- 4 Sanitation, Waste Management and Environmental Engineering Research Centre
- 5 Centre for Machine Learning and Computational Intelligence
- 6 Centre for Control Systems and Robotics Research
- 7 Centre for Biomedical Systems and 3D Printing Research
- 8 Centre for Signal Processing and Communication Systems Research
- 9 Structural Design and Analysis Centre
- 10 Composite Materials and Technologies Research Centre
- 11 Research Centre for Contemporary Tools and Techniques in Industrial Design
- 12 Innovation and Entrepreneurship Development Research Centre
- 13 Photonics Research Centre
- 14 Centre for Batteries and Biofuel Research
- 15 Software Engineering and Big Data Modelling Research Centre
- 16 Nutraceutical and Nutrition Research Centre
- 17 Oral Cancer Research Centre
- 18 Biomaterials Research Centre
- 19 Dental and Maxillofacial Modelling and Simulation Centre
- 20 Drug Design and Development Centre
- 21 Pharmacological Modelling and Simulation Centre

5.2 Center of Excellence

The main vision of Centre of Excellence (CoE) is to empower, create and synergize research groups across Ramaiah Institutions to address societal relevant problems of National importance. This can be propagated through Ramaiah Group's sustainable research contribution towards



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becoming an entity of International Stature and Global Relevance. In view of this, Ramaiah University of Applied Sciences has initiated and set up two CoEs in '**AI, ML and Autonomy**' and '**Computational Mechanics**'. The CoE in Computational Mechanics shall be mentored by Professor J.N. Reddy from Texas A&M University, USA and coordinated by Dr. Rahul M. Cadambi from RUAS. Moreover, Faculty Members across Ramaiah Group of Institutions may also get associated with CoEs.

The main goal of CoEs is to create a financially viable ecosystem using the inter-disciplinary Expertise across Ramaiah Institutions. The main objectives of CoEs include:

- Initiate and lead research on a topic impacting the global relevance by attracting acclaimed Professors/Scholars/Experts/Fellows from other educational Institutions/Universities in India and abroad to enhance the research profile
- Perform independent research and demonstrate the effective research management skills through the formulation of research clusters/groups leading to the scholarly growth of Faculty Members, Post-Doctoral, Doctoral Scholars and PG students across Ramaiah Institutions
- Engage consistently, continuously and proactively in conducting high quality and transformational research by making available the results for peers to set the stage for solving practical/societal problems of national importance
- Encourage, promote and participate in the activities conforming to the Ramaiah Group's Vision by creating an eco-system for interdisciplinary research

6. Support for Organizing Events (Conference, Seminars, Workshops etc.)

The Organizing Committee for the proposed Event shall contact the Research Division to organize Conference, Seminars, Workshop with prior approval from the respective HoD and Dean. Along with the request, a tentative Budget needs to be submitted as per Annexure 03 for conducting the Event. The Budget shall comprise details of Expenses and avenues for Revenue Generation as well as Sponsorships. The Pro Vice Chancellor (Research) and the Chief Financial Officer shall review and send their recommendation to the Vice Chancellor for the final approval. Figure 2 shows the process for providing Support for Organizing Events at RUAS:



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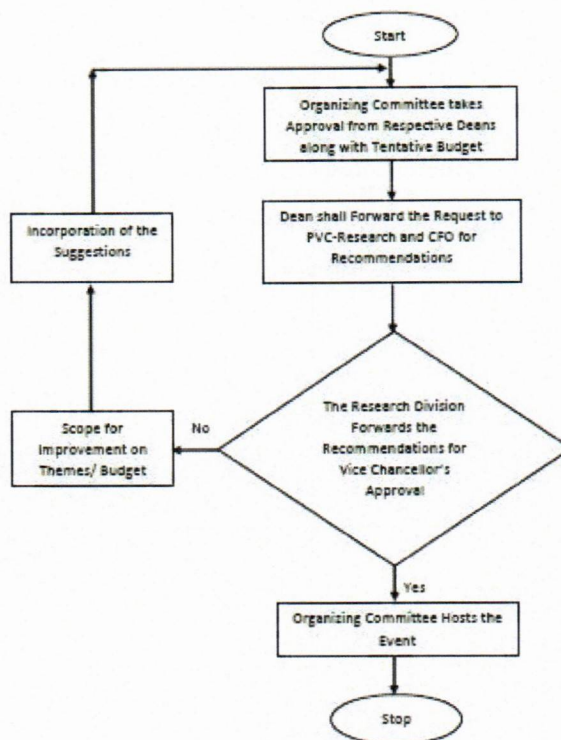


Figure 2. Support for Organizing Events (Conference, Seminars, Workshops etc.)

7. Support for Presenting Papers at Conference

Since many of the Conference organizers make the attendance mandatory for publication of the article, the University shall try to support travel and subsistence of the participant subject to the availability of Funds. The Faculty Members are encouraged to utilize Travel Funds from Sponsored Research, Grants-in-Aid, Collaborative or Consultancy Projects for which they are working instead of depending on Institutional Funds. The application needs to be submitted to the Research Coordinator of the concerned Faculty as per Annexure 04. The categories of support for presenting Papers at Conferences are as follows:

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a) Local Conferences:

- ✓ Registration amount not exceeding Rs. 5,000/- shall be paid by the University and only the presenter shall be supported
- ✓ All-inclusive subsistence allowance of Rs. 500/- shall be paid per Conference to the presenter. Original receipt for the Registration amount and a self-certified receipt for the subsistence expenditure have to be provided to the Research Coordinator of the concerned Faculty after attending the Conference

b) National (non-local) Conferences:

- ✓ Registration amount not exceeding Rs. 5,000/- shall be paid by the University and only the Presenter shall be supported
- ✓ Travelling shall be supported with the limit set at A/C 3 tier train fare by the shortest normal route. After return, the participant shall provide the original receipt of the Registration from the Conference organizers along with copy of the ticket for travel
- ✓ Accommodation and subsistence charges shall be borne by the Presenter

c) International Conference:

- ✓ International travel to attend a Conference shall be permitted only if there is a travel grant under Sponsored Research /Consultancy Project sanctioned to the Investigating Team. Therefore, the details of allowances shall be decided on a case by case basis based on the norms set by the Funding or Sponsoring Agency. The flow chart to avail the financial support by the Faculty Members is reported in Fig. 3:


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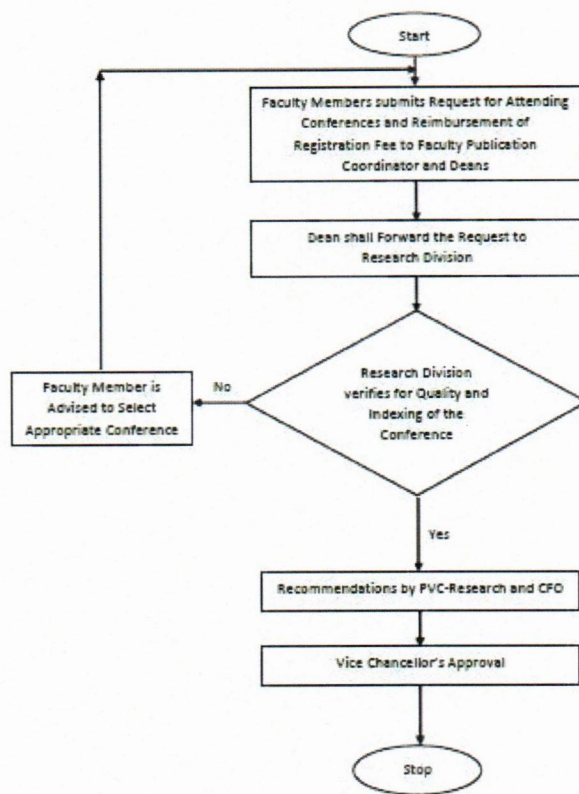


Figure 3. Financial Support for Faculty Members Attending Conference

8. Examiner Remuneration

Examiners external to RUAS (National/International) shall be invited for reviewing Ph.D. Thesis and serve on the panel of Progress Review Panel (PRP) of the Ph.D. Scholar. In case of reviewing Ph.D. Thesis, the External Examiner (Indian and International) shall be paid an honorarium of Rs. 10,000 for reviewing the Ph.D. Thesis and Rs. 5,000 for serving on the Ph.D. Viva Voce panel. With regard to serving on the PRP panel, a sitting fee of Rs. 2,500 shall be paid per Day to the External Expert. The Research Division shall coordinate and send recommendation for the approval of remuneration to the Chief Financial Officer's office.

9. Supervisor Selection for Research Programs

During the Coursework, the Research Division shall provide the Scholar with an Application for the allotment of Research Supervisor. The List of Approved Supervisors of RUAS is available at http://www.msruas.ac.in/doctoral_research. The Scholar may review the list



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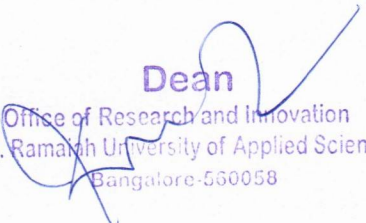
and propose three probable Supervisors based on his/her Specific Topic of Research. After receiving the request from the Scholar, the Research Division shall discuss with probable Supervisors. The Supervisors shall be allotted with the consultation of pertinent Dean, HoD, and the suggested Supervisory list. With the approval of the Pro-Vice Chancellor (Research), an official communication about the allotted Supervisor shall be sent to the Scholar, Supervisor, Faculty Research Coordinators, HoDs and Deans.

10. Submission of Proposals to External Funding Agency

Intimation of Research Calls shall be communicated by the Research Division to all the Faculty Members of the University. Based on the deadline of the Call, the Principal Investigator (PI) can prepare the proposal and the same may be reviewed by the Expert Team constituted by HoD and Dean. After the review, the updated Proposal is forwarded to the office of Pro Vice Chancellors for the final review. In parallel, the Research Division shall facilitate the PI pertaining to the administrative details and obtaining Declaration from the Head of the Institute.

11. Utilization of Expert Services from External Member/Agency

The University has made provision to utilize the Expert Services from External Member/Agency to the Faculty Member based on the Funds availability in the Sponsored/Consultancy Project. The External Member/Agency shall furnish the quote for their Services to the University. The Faculty Member shall take approval from Chief Financial Officer for releasing the Purchase Order to the External Member/Agency. The Research Division shall facilitate the approval process based on the Expenses Claim Form as reported in Annexure 05. Figure 4 explains the process for Utilization of External Facility by Faculty Members of RUAS:


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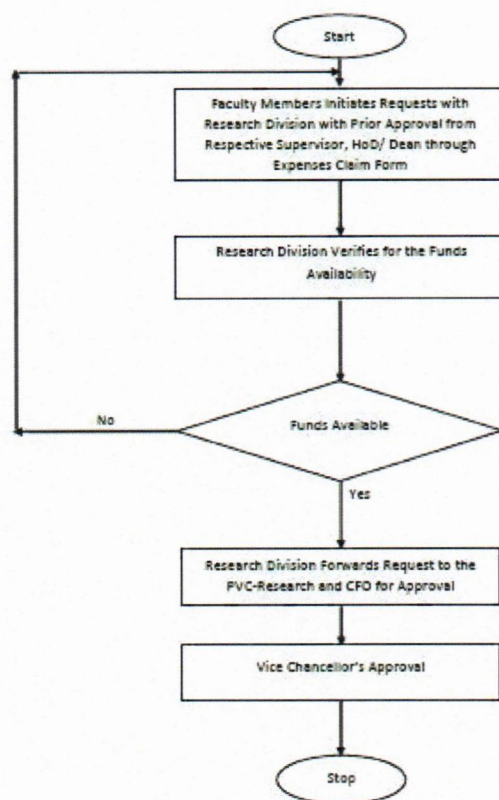


Figure 4. Utilization of External Facility by Faculty Members of RUAS

12. Accessing External Facilities

Faculty Members may utilize External Facilities for their Research based on the Funds availability in the Sponsored/Consultancy Project. The Faculty Member shall submit the Expenses Claim Form to the Research Division. Based on the availability of Funds, the Research Division forwards the request to Pro Vice Chancellor (Research) and Chief Financial Officer for approval. Either the University may release the Purchase Order or make an online payment to the External Agency depending the request.

13. Internal Resource Utilization by Externals

The External Member/Agency may contact the respective HoD for Internal Resource/Equipment Utilization of the University. The HoD in consultation with University Officials shall send the quote to the External Member/Agency. Upon receipt of payment to the University, the HoD shall facilitate the contact between the External Member/Agency



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and the associated Laboratory Custodian of RUAS. Based on the mutually convenient date and time, utilization of the Equipment shall be scheduled by the Laboratory Custodian. Figure 5 reports the process of Utilization of Internal Resources by External Members/ Agencies:

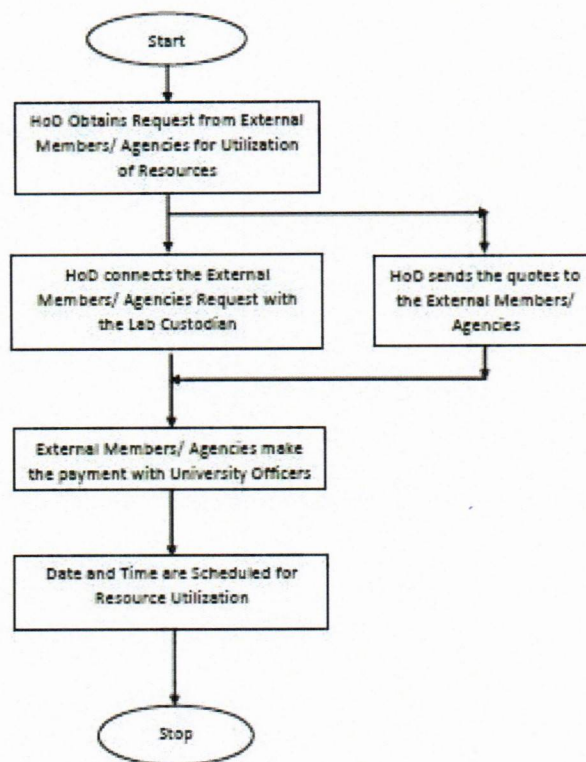


Figure 5. Internal Resources Utilization by External Members/ Agencies

14. Financial Support to Ph.D. Scholars

Apart from National and State Fellowships, the University supports the Full Time Ph.D. Scholars in select Faculties/Schools through Teaching and/or Research Assistantship. In addition, all Full Time Scholars are reimbursed INR 20,000 per Year towards the Consumables, Experimental Expenses and Conference Registrations respectively (INR 10,000 under each Category). The Ph.D. Scholars may also be inducted as Junior/Senior Research Fellow if his/her Supervisor has a Sponsored or Industry Consultancy Project. The University is also keen and aspires to expand the Ph.D. Endowment Fund to support all Full Time Ph.D. Scholars in the next couple of years.



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15. Utilization of Received Grant by the Principal Investigator for Project Execution

The Principal Investigator (PI) of the Sponsored or Industrial Consultancy Project shall forward the request for utilization of Grant to the Research Division through Expenses Claim Form and Inter Departmental Note. The request for utilization of Grant shall satisfy the allotted Funds under approved Headings/Sub-Headings of the Sanction Letter issued by the Funding Agency. The Research Division verifies the details submitted by the PI and then forwards the request to the office of Pro Vice Chancellor (Research) and Chief Financial Officer for approval. Based on the approval, payment or reimbursement of Expenses shall be carried out by the Accounts Department.



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Annexure – 01

Template for Invention Disclosure

- 1. Title of Invention:**
- 2. Names of Inventors (Sur Name, Middle Name, First Name) with
Name of Department/Faculty with E-mail Id:**
- 3. Date of Reporting of Invention:**
- 4. Brief Summary of Invention:**
- 5. Detailed Description of Invention with detailed information including
Drawings/Flow Chart/Results:**
- 6. Discussion of Novelty of the Invention and the advantages of the
solution the invention provides:**
- 7. Complete Details of Prior art or Published literature which are closely
related to the proposed invention and how the proposed invention is
different from the existing solutions:**
- 8. Possible short term and long term commercial applications:**
- 9. Details of competing products (if any):**

Signatures of all Inventors with Date:



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Annexure – 02

Application for Seeking Seed Money for Initiating Research at the Research Centre

Name of the Research Centre				
Head of the Research Centre				
Funds Requested				
The scope of the Research for which the seed money is being sought	1. 2. 3.			
Breakup of the Requested Seed Money				
Sl. No.	Items to be Procured with Technical Specifications	Unit Price in Rs.	Total Quantity Required in Nos.	Total Estimated Cost in Rs.
1.	Equipment			
2.	Consumables			
3.	Glass wares			
4.	Fabrication			
5.	Laboratory Testing Services			
6.	Biological Specimens			
7.	Others (Pl. Specify)			
Grand Total [Should Not Exceed Three Lakhs]				
Earliest date when the requested items to be made available				Date
Signature of the Subgroup Team Leaders		1. 2. 3. 4.		Date
Signature of Head of the Research Centre				Date



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Recommendation By:		
Research Division (PVC-Research)		
	Signature	Date
Comments By:	Registrar	Vice Chancellor
Signature		
Date		



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Annexure – 03

Budget Format for Conducting Events (Conferences, Seminars etc.)

Proposed Budget for _____

Name of Research Center/Department:

Head of the Research Center/Department/Faculty:

Incharge:

Sl. No.	Expenditure (A)				Revenue (B)				
	Item Description	Quantity in Nos	Unit Price in INR	Total in INR	Quantity in Nos	Unit Price in INR	Gross Amount in INR	GST 18%	Net Amount in INR
1.									
2.									
3.									
4.									
5.									
6.									
			Total				Total		
	Grand Total	Revenue (B) – Expenditure (A) = _____ Total Income in INR							

Date:

Place: Bangalore

Signature of Chair – Organizing Committee

Approved by PVC (Research)




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Annexure – 04

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University House, Gnanagangothri Campus, New BEL Road, MSR Nagar, Bangalore – 560 054

Permission for Attending a Conference/Workshop/Symposium

The applicant should fill this form and submit the application along with the enclosures to in the Office of the Research Department; Don't erase any print from the form and use 'strike off' option if not applicable.

Name, Designation & ID Number :

Department :

Title of the Conference/
Workshop/ Seminar :

Place : Date : Duration :

Type of Presentation : Invited / Oral / Poster / Participation

Have you got permission to publish
the work ? The reference no &
Date of clearance :

Particulars of Conference/
Workshop/Seminar attended in
the current financial year :

Expenses:

Details		MSRUAS Contribution	Other Contribution
a.	Registration Fee		
b.	TA		
Total			

Project No (if to be debited from Project Funding):

Budget head:

Place:

Date :

PI Name:

Applicant

**Approved/ Not Approved/
Payment of registration fee sanctioned**

**Information recorded by
Research Division**



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Initiated by	Comments	Signature
Faculty Publication Coordinator		
Head of the Department (HoD)		
Dean's Office		
PVC's Office		
Account's Office		

Initiated by	Scholar / Faculty member	Submitted to	Head
Routed through	Supervisor, Head of the Department, Research and Finance Dept	Custodian of the Document	Head
Copies to	Scholar, HOD		
Enclosures	Abstract Copy of the letter of invitation / acceptance Conference pamphlet / website Clearance letter issued by the Office of the research Department for publication If no paper is presented, justification for participation		
Notes	1. Please submit the filled in form at the Office of the Research Dept for approval 2. Preference will be given to the presenting author 3. Payment for registration and travel is subject to availability of funds		



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Code of Ethics Policy for Research and Consultancy



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**[Approved by the Board of Governors at its Meeting
held on 27 Nov. 2021 vide Resolution No.21.9]**


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Preamble

Academic Research and Consultancy is a systematic and scientific approach in search of knowledge and its dissemination. Ramaiah University of Applied Sciences (RUAS) encourages the Faculty Members to follow the Code of Ethics for Academic and Sponsored Research as implicit in standards. In particular, ethics in dissemination of knowledge with impeccable standing is always an aspiration to the members of RUAS Community. The Quality of Research and its Academic reach hinge on the intellectual contributions as well as professional ethics exhibited by the Faculty Members.

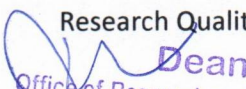

Aim of the Code of Ethics Policy for Research and Consultancy


The Policy ensures implementation of stated Code of Ethics by supplementing and complementing widely accepted practices in Academic and Sponsored Research. This includes appreciating Originality and Reporting Standards of intellectual findings; Acknowledgement of Sources; Credit to Authors; Presence of Institutional Ethics (Human and Animal) Committee and Invention Disclosure. In particular, it is essential that certain ethical guidelines be adhered by Faculty Members involved in Academics and Research to sustain the continued Quality for better outreach of the University. Moreover, Publication and Ethics Committee is constituted in every Faculty/School as a non-statutory committee to ensure the implementation of good practices in Research.

Objectives of the Policy

The objectives of the Code of Ethics Policy include:

- To propagate highest level of Ethical Adherence by Faculty Members to attain Academic Integrity and Honesty
- To conduct Academic and Research activities by adhering to compliance in Contractual as well as Grant Terms and Conditions
- To exhibit Professional Ethics and demonstrate highest standards of Academics and Research Quality for better outreach of the University


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Guidelines and Terms of Reference

The University ensures implementation of stated Code of Ethics through the following Parameters:

- Inclusion of Research Ethics in the Research Methodology Course Work
- Presence of Institutional Ethics Committee
- University Ethics Committee for Human Trials
- Institutional Animal Ethics Committee
- Plagiarism Check
- Research Advisory Committee

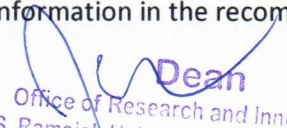

In addition, widely accepted norms and standard ethical practices to be adopted by the Faculty Members can be summarized as follows:

i. Originality and Reporting Standards

Authors are the primary contributors for the academic standard of the journal. The research reported in the submitted manuscript should be the original work and shall not be published apriori or currently shall not be under review for any publication elsewhere. Since Research is an honour and privilege, Authors have the bounden obligation to reveal the research findings adopting the rule of revealing "**Whole Truth, Only the Truth and Nothing but the Truth**" philosophy. It is the responsibility of the Authors to ensure that all the information and pertinent details be provided in the research paper/proposal to facilitate a reasonably knowledgeable researcher to prove, validate and verify the results and claims reported in the paper/project

ii. Acknowledgement of Sources

If tables or figures are reproduced from another source, a letter from the copyright holder (usually the Publisher), stating the authorization to reproduce the material must be attached along with the manuscript. Information availed from any source irrespective of the quantity should be acknowledged in the research paper by citing the source of information in the recommended format stipulated by the journal


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iii Authorship of the Paper

All the individuals who have contributed to the formulation of the research problem, implementation and execution as well as in the verification shall be provided due credit as an Author. All contributors to the research findings reported in the manuscript shall be included in the list of Authorship and all the Authors listed in the manuscript shall have clear identifiable contributions to the manuscript

iv Hazards and Human or Animal Subjects

Manuscripts with research findings involving hazards and human or animal subjects shall not be submitted to the journal without the granted ethical clearance. The responsibility of obtaining the clearance from the appropriate ethical committee solely rests on the corresponding Author. However, the University has Committees on Human and Animal Ethics in place to review and grant ethical clearance

v Disclosure and Conflicts of Interest

Any implicit or explicit financial obligations/conflict of interest of the Authors pertaining to a research theme shall not influence the research findings and the associated interpretation or inference reported in the paper

vi Fundamental Errors in Published Works

Authors are solely responsible for correctness and authenticity of facts, figure, statements and opinion reported in the manuscript under consideration. Authors are duty bound to notify any correction or retraction to deal with any inaccuracy, error or misrepresentation in the published version of the paper, discovered subsequent to its publication. The University shall not be responsible for the intended errors in published works

vii Plagiarism

It is the responsibility of the Authors to maintain the Academic Quality of the manuscript conforming to the required standards to ward off plagiarism issues. The University has adopted anti-plagiarism software and made Plagiarism report compulsory for all research programs, thesis, dissertation and assignment submissions



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viii Compliance in Contractual as well as Grant Terms and Conditions

All Faculty Members undertaking Sponsored Research and Industrial Consultancy Projects are warranted to be compliant with Contractual as well as Grant Terms and Conditions. In order to behold heritage and legacy of the University, the RUAS Community should adhere to this requirement

The Policy is subject to changes from time to time as approved by BOG. By virtue of the above-mentioned guidelines, RUAS ensures the implementation of Stated Code of Ethics for Academic and Sponsored Research across all the Faculties/Schools of the University which is associated with honour, privilege, responsibility and professional ethics.



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Plagiarism Policy



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Dear Sir,
Office of Research and Innovation
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First Version Approved by the Board of Governors at its Meeting
held on 10 June 2015 vide Resolution No. 2b]

Second Version Approved by the Board of Governors at its Meeting
held on 25 November 2021 vide Resolution No.21.9]

Annexure – 01

Directorate of Sponsored Research

Proforma for Seeking Seed Money to carry out Preliminary Research

Name of the Principal Investigator		Department and Faculty		Investigating Team Members / Collaborators, If any		Head of the Department/ Research Centre		Title of the Project		Project Proposal		Ethics Approval Required	
				1. 2. 3.						As per the attached Format		Yes/No	
Funds Requested (Inclusive of GST)													
Sl. No.	Items to be Procured with Technical Specifications	Unit Price in INR	Total Quantity Required in Nos.	Total Estimated Cost in INR	1.	Equipment				2.	Consumables		
						Glass wares							
						Fabrication							
						Laboratory Testing Services							
						Biological Specimens							
						Others (Pl. Specify):							
Grand Total [Should Not Exceed Three Lakhs]													
Declaration by the Principal Investigator and Team													
I, Dr. XXXXXX, Principal Investigator (PI) of the above-mentioned Project is fully aware of the rules relating to Seed Money Policy. In the event, any discrepancies are found and notified in future, I as PI and/or the Investigating Team accept responsibility to reimburse the Seed Money claimed from the University.													
Signature of the PI and Team		1. 2. 3.		Date									

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Please Note:
The Office of the PVC (Research) shall schedule a Meeting with the Core and Expert Committee to review the request for Seed Money to carry out preliminary research. The PI and Team are requested to make a Presentation in front of the Core and Expert Committee

Comments by respective HOD and Dean whether the intended Research is in alignment with Department and Faculty's Road Map		Comments by HOD:		Comments by Dean:		Date
Details of Three Subject Experts to Review the Proposal (Deans to Fill)		1.		2.		3.
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HOD						
Forwarded By:		Signature		Date		
Dean						
For Office Use Only						
Recommendation by Pro-Vice Chancellor (Research)						
Signature of Pro-Vice Chancellor (Research)						
Remarks by Registrar						
Signature of Registrar						
Approval by Vice Chancellor						