



ALLIANCE
UNIVERSITY

*Private University established in Karnataka State by Act No.34 of year 2010
Recognized by the University Grants Commission (UGC), New Delhi*

NAAC
GRADE A+
ACCREDITED UNIVERSITY

Alliance University Doctoral Degree Program (Ph.D.)

Regulations, 2025



Alliance University Doctoral Degree Program (Ph.D.) Regulations, 2025

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CHAPTER – I

Preliminary

1. Short Title, Application and Commencement

- 1.1 These Regulations shall be called Alliance University Doctoral Degree Program (Ph.D.) Regulations, 2025.
- 1.2 These Regulations shall apply to the Full-Time and Part-Time Ph.D. Programs of the University.
- 1.3 These Regulations shall come into force on such date as the University may, by notification appoint.

2. Definitions

In this Regulation, unless the context otherwise requires,

- 2.1. “Abstract” means a write-up of a dissertation or thesis to be submitted by a research scholar which succinctly explains to the reader as to why the research work was needed, what was done by the researcher, what are the findings and the recommendations made by the research scholar in the study.
- 2.2. “Completion of the Coursework” means the date on which a Coursework completion Certificate is issued to the research scholar, by the Registrar (Examination & Evaluation) based on the Credits secured by the research scholar, that may be prescribed by the University.
- 2.3. “Co-supervisor” means a recognized Research Supervisor who may guide and supervise a candidate along with the Supervisor recognized by the Departmental Research Committee.
- 2.4. “Coursework” means the Courses prescribed as a part of the Ph.D. Program which all the research candidates shall successfully complete as a prerequisite for confirmation of registration.
- 2.5. “Date of Registration” means the date from which the candidate is provisionally registered.
- 2.6. “Degree” means the Degree of Doctor of Philosophy (Ph.D.).
- 2.7. “Disability” means disability as defined in clause (i) of section 2 of the Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Act, 1995.

- 2.8. "Departmental Research Committee" means the committee constituted by the University from time to time in connection with the Ph.D. Program to perform the functions that may be assigned to it by the University.
- 2.9. Research Advisory Committee, the committee constituted by the university to review the research proposal, guide the research scholar and periodically review and assist the scholar in the progress of research work.
- 2.10. "Entrance Test" means the written test to be taken by the applicants who seek to take admission for the Ph.D. Program at the University.
- 2.11. "Fee" means the fee prescribed by the University for the Ph.D. program from time to time.
- 2.12. "Grievance Redressal Cell" means a body constituted by the University for the purpose of resolving any dispute arising in connection with a research candidate or research scholar on the one hand with the University and/or any University officials or any other candidate or research scholar on the other, in the University, during the period of the research study of the candidate or scholar.
- 2.13. "Period of the research study" means the period from the time when a research candidate is admitted to the Ph.D. program till the award of the Degree by the University.
- 2.14. "Person with disability" means a person as defined in clause (i) of section 2 of the Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Act, 1995.
- 2.15. "Provisional Registration" means the Registration Certificate issued to the research candidate by the University on payment of the prescribed fees by the candidate.
- 2.16. "Research proposal" means a brief write up on the proposed research work which shall be submitted by the candidate along with the application for registration for the Ph.D. program.
- 2.17. "Research Scholar" means a candidate who is registered for a Ph.D. Program either in a Full-Time or Part-Time mode as per the rules of the University.
- 2.18. "Research supervisor" means a qualified full-time faculty member who is recognized by the University as a research supervisor to guide research scholars in the Ph.D. program.

- 2.19. “Synopsis” means a structured, formal document submitted by a research scholar after the successful completion of the research work and accomplishment of all objectives as stated in the research proposal.
- 2.20. “CFR” means Office of Centre for Research.
- 2.21. “University” means Alliance University.

Chapter II

Admission Eligibility and Procedure

3. Ph.D. Program of Alliance University

3.1 Alliance University shall have Doctoral Research Programs, either Full-Time or Part-time, leading to the award of the Degree of Doctor of Philosophy (Ph.D.) in all its Schools and Departments as are approved by the University.

3.2 The University may admit candidates for various Ph.D. Programs under the University, twice a year in the month of January and July respectively.

4. Notification of the Ph.D. Programs

4.1 The University shall announce admissions to the Ph.D. program on its official website and through appropriate advertising channels, in accordance with, but not limited to, the UGC Guidelines 2022.

4.2 The Notification shall contain the following information:

- a) The number of seats for admission, Discipline wise.
- b) Subject/discipline-wise distribution of available seats.
- c) Criteria and procedure and last date of application for admission
- d) Date of announcement and date and time of Entrance Test
- e) Date of Admission interview
- f) Date of publication of list of selected candidates; and
- g) All other relevant information for the benefit of the candidates.

5. Eligibility

Subject to the provisions outlined in these Regulations, and in accordance with the UGC Guidelines 2022, as well as any subsequent amendments issued from time to time, the following shall be eligible to seek admission to the Ph.D. Program of Alliance University:

5.1 Applicants holding a master's degree with a minimum 55% marks or equivalent Grade in a point scale as may be prescribed by the UGC from time to time, wherever grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

5.2 Candidates whose result of the final examination of a program leading to master's degree is awaited can be given provisional admission if he / she fulfils other requirements for admission. After the provisional admission the candidate will be required to furnish

proof of completing master's degree with minimum of 55% marks within three months from admission failing which his / her admission will be cancelled.

5.3 Applicants holding foreign Degree's equivalent to that of a master's degree study with minimum 55% marks or equivalent Grade in a point scale as may be prescribed by the UGC from time to time, wherever grading system is followed; provided that applicants with a foreign Degrees shall be admitted to the Ph.D. program, subject to the clearance by the Equivalence Committee of Alliance University.

5.4 Candidates having completed M.Phil. Coursework with a minimum 55% marks in aggregate or its equivalent Grade, in the UGC point scale and those candidates who having their M.Phil. Dissertation evaluated, but viva-voce is pending, maybe be admitted to the Ph.D. program.

5.5 Applicants possessing a degree, approved as equivalent to the M.Phil. Degree in India, obtained from a foreign Educational Institution accredited by the UGC provided that candidates with a degree from a foreign Institution shall be admitted to the Ph.D. program, subject to the clearance by the Equivalence Committee of Alliance University.

5.6 Admission of candidates belonging to the SC/ST/OBC, or other reserved categories shall be governed by the Karnataka State Rules in this regard, from time to time.

5.7. Undergraduate students are also eligible for Ph.D. enrollment, subject to certain conditions. Students from a four-year undergraduate program (with Honors) can enroll directly if they have scored 75% or above, with a 5% relaxation for specified categories as per UGC regulations. Those who have scored between 55% and 75% may qualify after completing either a one-year master's program or a bridging course of 36-40 credits, as per the National Credit Framework (NCrF) 2023 (Refer Ph.D. Eligibility flow chart). Though not mandatory, undergraduate students who have a minimum relevant experience of two years (four-year UG course) and have scored between 55-75%, their credit structure for the bridging course will be reviewed by a separate equivalence committee constituted by the CFR and Dean Academic affairs. However, the credit offset margin will not exceed more than six credits.

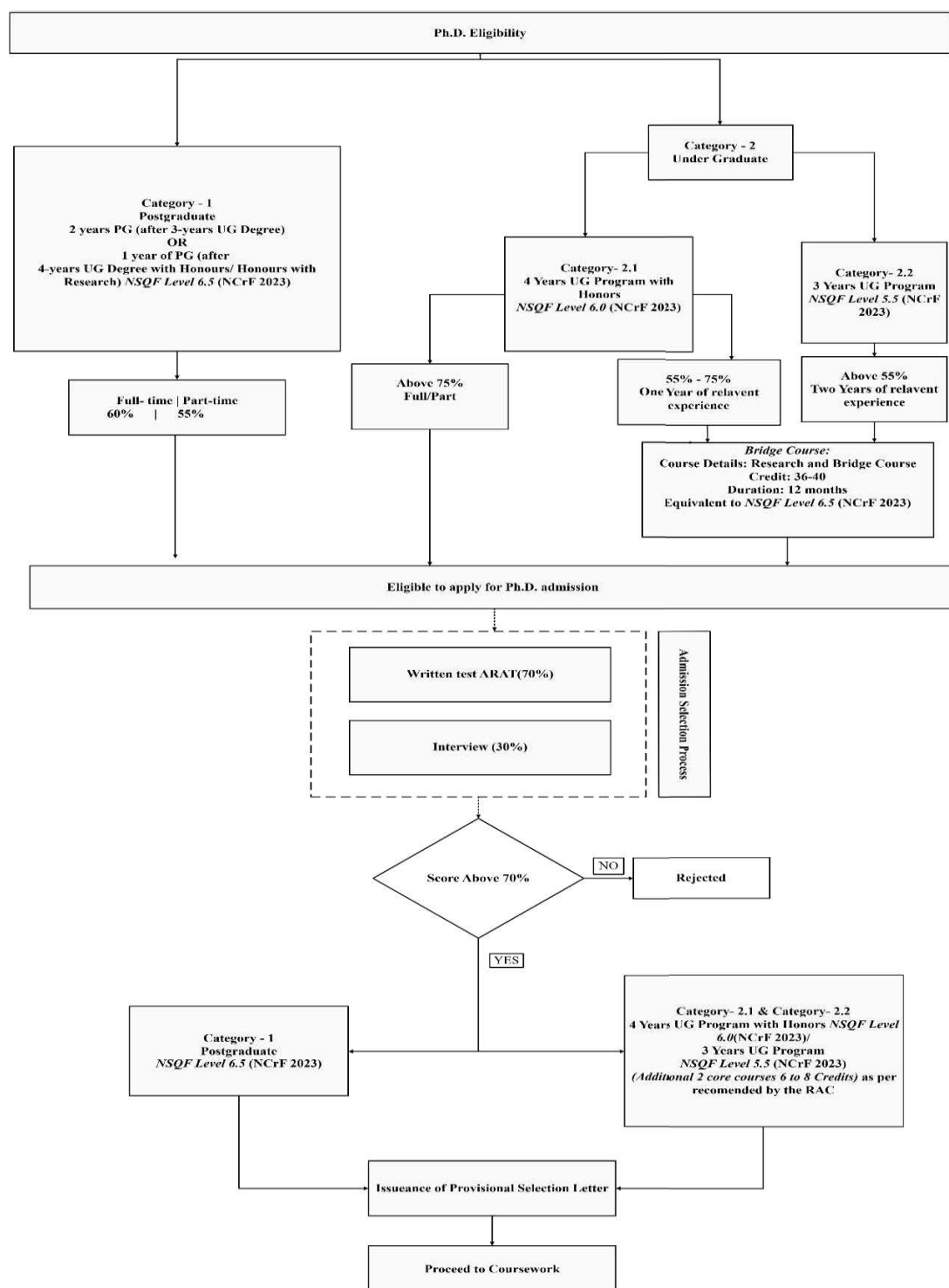
5.8. For students from a three-year undergraduate program, Ph.D. eligibility requires the completion of a bridging program of 36-40 credits (as per NEP Guidelines, where the students will be laterally admitted in to the final year of the corresponding UG programs under Research track, reach level 6.5 as per NHEQF) and then provisionally register for the PhD Program, if they satisfy the eligibility condition as of 5.7.

5.9 All Ph.D. coursework must be completed in accordance with the guidelines set forth by the National Credit Framework (NCrF) 2023 and the relevant Ph.D. program regulations.

5.9 Additional Eligibility Criteria for Full-time scholars:

All Full Time Research Scholars must adhere to these requirements as part of the Ph.D. enrolment process.

- a) The applicant should have an above-average academic record, preferably with a first-class distinction throughout (60% and above), with a 5% relaxation for SC/ST candidates.
- b) The applicant should preferably hold an undergraduate/postgraduate degree in the same discipline as their intended Ph.D. program.
- c) A minimum of one publication and three years of professional experience will be considered an added advantage, though not mandatory.



* Eligible candidates must qualify through university approved selection process as per UGC norms

6. Duration of the Program

- 6.1 The duration of the Program shall be a minimum of three years and a maximum of six years including the course work from the date of joining the program.
- 6.2 Women research scholars shall be allowed a relaxation, in accordance with the provisions of law in this regard and as may be notified by the UGC or the Central or State governments from time to time.
- 6.3 Research scholars with a disability of not less than 40 percent disability, shall be allowed relaxation in accordance with the provisions of law in this regard and as may be notified by the UGC or the Central or State governments from time to time.
- 6.4 Women research scholars may be granted maternity leave / childcare leave of 240 days, once in the entire duration of the research Program.
- 6.5 An extension of the maximum duration (maximum 2-year extension (8 years total)) may be granted by the Vice-Chancellor on the recommendation of the Departmental Research Committee concerned.
- 6.6 The total duration of such extension by the Vice-Chancellor shall not exceed Two years, and maximum 8 years from the date of Confirmation of Registration.

7. Notification of Vacancies by the School / Department

Each School or Department, as applicable, shall determine the vacancies available in the identified thrust areas or specializations for its Ph.D. program. Additionally, they shall verify the list of available Supervisors along with their respective specializations and communicate this information to the Office of CFR. The Office of CFR will then compile and provide the consolidated details to the University's Admission Office twice a year, prior to each Ph.D. admission cycle.

8. Application for Admission to the Ph.D. Programs

Applicants satisfying the eligibility conditions, desirous of getting admitted to the Ph.D. Program, shall apply in the prescribed form including a research proposal which is not more than 300 words to the University admission department, along with the application fee and Entrance Test fee, as may be prescribed by the University from time to time.

9. Alliance University Ph.D. Entrance Test

- 9.1 Applicants who have passed UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/faculty fellowship within the four years preceding the date of application shall be exempted from appearing for the Ph.D. Entrance Test.

9.2 All shortlisted applicants, except those candidates who are expressly exempted from appearing in the Entrance Test, shall be required to appear for the Alliance University Ph.D. Entrance Test (ARAT).

10. Entrance Test and Selection of Candidates

- 10.1 The University shall hold School / Department specific Entrance Test for selecting suitable candidates for admitting into the respective Ph.D. Programs offered by the different Schools / Departments of the University.
- 10.2 Each School / Department shall notify the syllabus, mode of the Test and the duration of the Entrance Test on the notice board of the respective School / Department and on the University website.
- 10.3 Applicants who secure at least 50% marks on the Alliance University Entrance Test (ARAT) shall be eligible to be called for the Admission Interview and shall be notified individually.
- 10.4 The list of applicants who are exempted from appearing in the Entrance Test shall be notified individually and on the noticeboard of the respective School / Department and on the University website.
- 10.5 Those applicants exempted from the Entrance Test shall be required to attend the Admission Interview to select the candidates for provisional admission to the Ph.D. Program as per the schedule of interview, notified by the School / Department and communicated to the applicants individually, through the admission office. Eligibility to appear for the interview per se shall not be construed as confirmation of registration for Ph.D.
- 10.6 Within Two weeks from the date of conducting the Entrance Test, the University shall notify the merit list of the candidates who have appeared for the Ph.D. Entrance Test and the list of candidates who have been selected to appear for an interview at the respective School / Department Notice Board and communicated to the applicants individually, through admission office.
- 10.7 Entrance Test and admission interview shall carry a weightage of 70:30, for the final selection of the candidate who appeared for the Entrance Test.
- 10.8 Those candidates who have been exempted from appearing for the Entrance Test as per UGC Guidelines are called for the admission interview shall be assessed for 100 marks.

10.9 The Admission Department shall publish the interview schedule, clearly specifying the date and time, and shall communicate this information to applicants individually as well as via the University website.

Chapter – III

Admission of Research Scholars to the Ph.D. Program

11. Provisional Admission

- 11.1 Candidates provisionally selected for admission to the Ph.D. Program shall be notified individually by the admission office.
- 11.2 The candidates provisionally selected shall submit duly completed application forms along with a Demand Draft / online transfer details towards payment of the prescribed fees to the University before the date stipulated for the same.
- 11.3 Application for admission shall be accompanied by the documents furnished by Admission department of the University.
- 11.4 On completion of the admission formalities as prescribed in this Regulations, by a candidate, the Registrar (Administration) shall issue Provisional Admission to the candidate.
- 11.5 If at any time after the admission, it is found that a candidate has not fulfilled all the requirements as stipulated, the candidate's admission can be revoked with the approval of the Vice Chancellor.

Chapter – IV Committees

12. Departmental Research Committee

12.1 There shall be a Departmental Research Committee for the School / Department consisting of the following:

Dean of the School	Chairperson
Director-Research	Member
HoD /Area Chair	Member
Two full-time faculty members from the School / Department concerned Nominated by the Dean	Members
Program Director, Doctoral Program (In case there is no Program Director, Doctoral Program, a senior faculty member of the School / Department nominated by the Dean shall be the member of the Departmental Research Committee)	Convenor & Member Secretary

The committee is to be appointed by the Vice Chancellor on the recommendations of the Director -Research and Dean of the School.

12.2 The Member Secretary shall convene the meeting in consultation with the Chairperson of the Departmental Research Committee.

12.3 The Quorum for the Departmental Research Committee meetings shall not be less than 3 members.

12.4 Functions of the Departmental Research Committee shall be:

- a) To approve the Research Supervisors and Co-supervisor, if any, as proposed by the candidates as per availability of seats with the Supervisor.
- b) To permit the change of Research Supervisor in appropriate cases.
- c) To carry out such other duties as the University may entrust it from time to time in connection with the Ph.D. Program.

13. Research Advisory Committee (RAC)

13.1 There shall be Research Advisory Committee for each research scholar constituted by the Supervisor and ratified by the RAC with the approval of the Vice-Chancellor.

13.2 The Research Advisory Committee shall consist of:

Supervisor of the research scholar	Chairperson & Member Secretary
Co-supervisor of the candidate if any	Member
One Subject Expert (External) [A panel of three members to be recommended by the Supervisor and School Dean and Director research to select one member from the panel]	Member
a) Two full-time faculty members in the same area of research from the School / Department. b) If no faculty member from area of specialization is to be found, then one more external expert may be included as a part of RAC [To be recommended by the Supervisor and Dean School and approved by Director Research.]	Members

The committee to be appointed by the Vice-Chancellor on the recommendations of the Director Research and Dean of the School

13.3 Responsibilities of the Research Advisory Committee shall include:

- a) To review the research proposal and finalize the topic of research.
- b) To assess any change in the title of the Thesis that may be recommended by the Research Supervisor.
- c) To guide the research scholar to develop the study design and methodology of research and identify the components of the Course work that the researcher may have to undertake.

- d) To evaluate the progress of the research scholar based on the RAC/DRC meetings called for the purpose of evaluating the progress made by the research scholar.
- e) To periodically review and assist the scholar in the progress of the research work.
- f) In case a research scholar does not show satisfactory progress, the RAC shall suggest corrective measures to the scholar and if the scholar fails to comply with the instructions of the RAC or does not implement the corrective measures, the RAC may recommend, with reasons for the cancellation of the registration of the research scholar.

Chapter – V

Coursework, Supervisor and Topic

14. Ph.D. Coursework

- 14.1 Registered Ph.D. Candidates, either Full-Time or Part-Time, shall undergo Coursework (12 to 16 credits).
- 14.2 Coursework, the Courses to be offered, the credit requirement for clearing it and its schedule for the research scholars in a School / Department shall be decided and implemented by the respective Departmental Research Committee of the School / Department, according to course catalogue of respective schools of the University. The core curriculum should include a mandatory unit focused on social inquiry, tailored to each discipline.
- 14.3 Ph.D. scholars who hold an M.Phil. degree shall be exempted from the Coursework provided their intended area of research is the same as that for their M.Phil. In all such cases, the decision on whether the scholar can be exempted from the Coursework shall be taken by the Departmental Research Committee.
- 14.4 The assessment of the Coursework shall have two components, i.e., During the Semester Assessment (DSA) and the Semester End Examination (SEE). However, DSA components and SEE may be conducted as formative assessment, and must be approved by the BoS. Any change to this effect should be duly approved by the Office of CFR prior to orientation/onboarding of the Ph.D. batch. The Office of CFR will accordingly inform the Office of Registrar (Examinations & Evaluation).
- 14.5 The details of DSA and SEE shall be decided and notified by the Departmental Research Committee of the School / Department concerned, in an appropriate manner, at the commencement of the Coursework, with respect to each batch of Ph.D. candidates.
- 14.6 There shall be no provision for improvement of the DSA marks.
- 14.7 Minimum marks required for passing each written paper shall be 55% in the Semester End Examination and 55% in aggregate including the During Semester Assessment marks.
- 14.8 The Coursework shall be followed by a comprehensive viva-voce, to be conducted by Research Advisory Committee.
- 14.9 The candidates are required to obtain a ‘Pass’ in the comprehensive Viva-Voce to continue in the Ph.D. Program and if a candidate fails in the Viva, he/she shall

be given one more opportunity to appear for the Viva-Voce examination within a period of one month from the date of the Viva conducted for the candidate by the RAC and duly ratified by DRC. Pass shall mean obtaining a minimum of 55% marks in the Viva-Voce Examination.

14.10 In order to be eligible to appear for the Semester End Examination, both Fulltime and Part-time candidates shall secure a minimum of 60% attendance for the classes in each of the Courses prescribed for the Coursework. The course work may be conducted in blended mode.

14.11 Candidates who fail the Coursework examination within the timeframe stipulated by the School / Department due to reasons beyond the control of the candidate, will be provided with an opportunity of re-examination within two months of the declaration of results. In case the research scholar fails to complete the coursework in the re-examination, the scholar will complete the coursework examination with the subsequent batch.

14.12 If a candidate fails to qualify even after the second attempt, their provisional admission shall be cancelled. Additionally, if the coursework is not completed within one year, the student shall be de-registered from the program.

14.13 Conduct of the Coursework examination and the announcement of results shall be done by the Registrar (Examinations & Evaluation) in accordance with the University rules in this regard.

14.14 RAC1 will be conducted to finalize coursework and identify self-directed courses. RAC2 will be held within 30 days after coursework completion to conduct the comprehensive viva and title finalization.

14.15 On successfully completing the Coursework and the comprehensive Viva-Voce Examination, the Registrar (Examination & Evaluation) shall issue a Course Completion Certificate to the research scholars with the issuance of permanent registration number from the Office of Registrar.

14.16 RAC3 will be conducted once the scholar has completed the research, all achieved all intended outcomes and certified by the supervisor as eligible for submission of Thesis.

15. Research Supervisor and Co-Supervisor

15.1 All regular Professors at Alliance University with a minimum of one year of post-Ph.D. experience and at least five research publications in referred journals are eligible to be recognized as Research Supervisors. Similarly, any regular Associate

or Assistant Professor of the University holding a Ph.D. and having at least two research publications in referred journals may also be considered for such recognition. However, in exceptional circumstances, the University at its discretion may relax the conditions of the required number of publications for recognition as Research Supervisor on a case-to-case basis.

15.2 The University may not permit external experts as Research Supervisors for any research scholar.

15.3 A Co-Supervisor may be allowed in appropriate cases of inter-disciplinary research studies from other Departments of the University or from other Institutions, by the Vice-Chancellor, on the recommendation of the Research Advisory Committee.

15.4 The maximum number of research scholars a Research Supervisor can accommodate at a given time including co-supervision shall not exceed 8 in the case of a Professor, 6 in the case of an Associate Professor and 4 in the case of an Assistant Professor.

15.5 In the exceptional cases of Research Supervisors who supervise candidates registered under them in other Universities, the Departmental Research Committee shall consider the number of candidates working under them in other Universities, while allocating candidates to them.

15.6 The Departmental Research Committee shall consider the maximum limit of candidates pursuing a Ph.D. under the Supervisor while approving the selection of a Supervisor by the research scholar.

15.7 No Research Supervisor shall be allotted a close relative as a research scholar for the Ph.D. Program.

Explanation: The expression 'Close Relative' shall mean relationship of Parents and Wards, Husband and wife, Brother and Sister, Maternal/Paternal Uncles and nephews and nieces.

16. Allocation of Research Supervisor

16.1 After the orientation process, the research scholars may interact with the eligible supervisors in the department/ school.

16.2 Choice of selecting the Research Supervisor may be vested upon the research scholar. However, the final allocation of the research supervisor rests with the DRC.

16.3 Upon finalization of the Supervisor, the research scholar shall submit Annexure 24 to the program director of the respective school within a period of not more than

thirty days from the date of admission, signed by both the research scholar and the Supervisor so chosen by the research scholar.

17. Approval of Research Supervisor and Constitution of RAC

- 17.1 The supervisor shall be responsible for giving all the necessary academic guidance to the research scholar.
- 17.2 The research supervisor may request the appointment of a co-supervisor as per extant UGC notification.
- 17.3 Upon submission of Annexure 24, the Supervisor shall constitute the RAC within 15 days. The composition of the RAC will be ratified by the DRC and forwarded to the Vice-Chancellor for approval through the Office of the CFR.
- 17.4 A research scholar, who is unable to finalize a Supervisor within the stipulated time, shall communicate the difficulty in finalizing a Supervisor to the Program Director of the school and the school Dean shall communicate the same to the Departmental Research Committee for appropriate action.
- 17.5 The Departmental Research Committee shall recommend a Supervisor for the scholar within 15 days from the date of such communication by the Dean of the school.
- 17.6 The School Dean shall issue a notification to that effect and constitute the Research Advisory Committee for the candidate. The School Program Director shall obtain the Vice Chancellor's approval through the Office of the CFR.

Chapter – VI

Change of Supervisors

18. Change of Supervisor by the University

18.1 As a general rule, a change of Research Supervisor shall not be permitted.

18.2 If a supervisor is approved by the University to be temporarily absent for a period of no more than one year, they must continue to provide guidance to the research scholar through an appropriate mode of communication. During the Supervisor's absence, all academic correspondence between the Supervisor and the scholar will be managed through the Program Director and the CFR.

18.3 In case of a faculty member, who was a recognized Supervisor in another University or Institution, is appointed or transferred from such other University or Institution to Alliance University, such faculty shall declare to the concerned program director and the Office of CFR, the number of candidates already registered under the faculty in the University or Institution from where the faculty was transferred to Alliance University.

18.4 Under extraordinary circumstances such as transfer, resignation, or disability on health grounds of the Research Supervisor, the Departmental Research Committee shall recommend a new Research Supervisor suo motu, or recommend a new Supervisor, at the request of the research scholar concerned.

18.5 The office of CFR shall forward the recommendations of the DRC for the change of Supervisor to the Vice chancellor seeking final approval.

18.6 An appropriate decision shall be taken in case of the unfortunate demise of a Research Supervisor or Co-Supervisor by the Departmental Research Committee.

19. Change of Research Supervisor/Co-Supervisor at The Request of the Scholar

A scholar may submit a written request through the Program Director to the Office of CFR for change of the Research Supervisor/Co-Research Supervisor as the case may be, supported by valid reasons for seeking such a change, along with a No Objection Certificate (NOC) obtained from the existing Research Supervisor or the Dean. (Annexure 12) to be submitted.

20. Change of Research Supervisor/Co-Supervisor at the request of the research supervisor

- 20.1 A Research Supervisor/Co-Supervisor who desires to withdraw from supervising a research scholar shall communicate to the Office of CFR through the program director with valid reasons for such withdrawal and the Office of CFR shall take necessary action and shall consider the same to approve the change within a reasonable time with approval from DRC.
- 20.2 In such an event, the research scholar may be granted a maximum period of three months to identify a new supervisor. This period shall be counted as part of the overall duration of the research program.
- 20.3 If the research scholar fails to select a Supervisor within the stipulated time of three months, the DRC shall recommend a Supervisor for the scholar within a period of not more than Thirty days from the date of communication of the inability by the research scholar.

Chapter – VII

Confirmation of Registration

21. Choosing A Topic for Research

Research scholars admitted to the Ph.D. Program should be free to choose a research topic of interest to them.

22. Research Proposal Presentation and Confirmation of Registration

22.1 Upon Completion of Course work, Coursework Completion certificate will be issued by Registrar (Examinations & Evaluation) with the provisional registration number.

22.2 Once research scholars have successfully completed the coursework, they must submit their Research Proposal (within a period of three months), approved by their respective Research Advisory Committees, on the topic they have chosen, to the DRC.

22.3 In the instance of a scholar who fails to complete this requirement, the scholar shall be required to submit a written explanation to the respective Research Supervisors and in case the explanation is accepted, the scholar may be granted not more than three months' time to complete the requirement.

22.4 The School / Department shall hold the meeting of the RAC to consider and approve the research proposals. The research scholar shall prepare the Research Proposal, clearly defining the objective, relevance of the proposed study, survey of relevant literature, methodology and workplan, and shall present the same before the RAC for its approval.

22.5 The RAC may suggest changes, if necessary, in the title or scope of the study or the methodology of the proposed research and the proposal, in consultation with the Research Supervisor.

22.6 The list of eligible research scholars who have successfully completed the comprehensive viva-voce examination, along with the approved title and research proposal (RAC-2), shall be forwarded by the Departmental Research Committee (DRC) to the Office of the Centre for Research (CFR). The same shall also be communicated to the Office of the Registrar (Administration).

22.7 Issuance of Permanent Registration Number and Registration of the Research Title shall be completed within 10 days by the Office of Registrar (Administration). The Scholar will be awarded the Detailed Mark Certificate by Registrar (Examinations & Evaluation).

22.8 In case of a change of the Supervisor or if the scholar changes the topic of research already approved, the process of Research Proposal presentation under extant PhD Regulation shall be repeated and a new Certificate of Title shall be issued by the Office of Registrar (Administration) on the recommendation of the RAC duly ratified by DRC.

Chapter – VIII

Duties of Research Scholars & Full Time Ph.D. Scholar Guidelines

23. Duties of Research Scholars

- 23.1 Every research scholar shall submit a Progress Report in the prescribed format every six months from the date of completion of the Coursework to the review panel as constituted by the Office of CFR and approved by Vice chancellor.
- 23.2 These six-month progress reviews shall be countersigned and forwarded by the Supervisor to the Office of CFR through the Program Directors.
- 23.3 Make presentations before the RAC/DRC about the progress of the research study, for evaluation and for further guidance, as and when required.
- 23.4 Research scholars are bound to follow all the instructions given by the University, from time to time.

24. Full Time Ph.D. Scholar Guidelines

A comprehensive guideline for full-time research scholars at Alliance University is separately provided in the Full-Time Research Scholar Policy. This policy outlines the roles, responsibilities, and benefits of full-time research scholars to ensure they are well-informed of their obligations and entitlements. It offers a structured framework aimed at supporting their academic and professional development, covering the following key aspects:

- a) Onboarding Procedure
- b) Eligibility Criteria
- c) Selection Panel Composition
- d) Regulations Governing Engagement of Full-Time Research Scholars
- e) Leave Entitlement
- f) Fellowship Provisions
- g) Procedure for Conversion of Research Scholars
- h) Policy for Elevation to Senior Research Fellow (SRF)
- i) Association of Full-Time Research Scholars with Senior Professors

For detailed information on these key areas, please refer to the Full-Time Research Scholar Policy.

Chapter – IX

Transfers

25. Transfer of Research Scholars from Other Universities/HEIs to Alliance University

25.1 Candidates seeking transfer from other Universities/HEIs to Alliance University for continuing their research studies, shall make an application to the Admissions Office of Alliance University with supporting documents including a No Objection Certificate from the Institution where the candidate has been registered for their research studies. The candidate will be required to go through the same admission process as a new applicant.

25.2 Scholars who are transferred from another University/HEI to Alliance University shall be subjected to all the Regulations governing the Ph.D. scholars at Alliance University.

25.3 The transfer of Ph.D. scholars from other universities to Alliance University may be permitted based on the candidate's research progress conducted by the Screening Committee during the Admission Process along with the recommendations of Credit Equivalence Committee and RAC2 and subsequent approval by the Research Council. The Credit Equivalence Committee will standardize the evaluation process for recognizing prior academic credits, enhance academic flexibility for incoming scholars, and streamline administrative procedures.

The composition of the Credit Equivalence Committee includes:

1. Director-Research
2. Registrar (Examination and Evaluation)
3. Respective School Dean
4. Program Director of the corresponding school

25.4 The decision of the Credit Equivalence Committee will be submitted for approval of Vice Chancellor and subsequent approval by the Research Council.

26. Transfer of Women Research Scholars

In case of relocation of a woman Ph.D. scholar due to marriage or otherwise, if the scholar intends to transfer to Alliance University, the research data shall be allowed to be transferred to Alliance University, provided all the other conditions in these Regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent Institution/ Supervisor from any funding

agency. The scholar shall, however, give due credits to the parent Institution and the supervisor for the part of research already done.

27. Transfer of Research Scholars from Alliance University to other Universities

27.1 Candidates seeking transfer from Alliance University to other Universities, may apply for transfer through the Supervisor concerned to the Dean who shall forward the same to the office of CFR through approval in Departmental Research Committee. The Office of CFR shall make necessary recommendations to the Vice Chancellor.

27.2 Once approved, a certificate shall be issued mentioning the progress of the candidate signed by the Supervisor.

27.3 On approval of the recommendation of the Director-Research by the Vice-Chancellor, the Registrar (Administration) shall issue a Transfer Certificate to the scholar.

28. IPR Protection for the University in Transfer Cases

28.1 Any IPR-related matters for research scholars transferring to or from Alliance University will be governed by the University's IPR policy.

29. Inter School and/or Inter Department Transfers

29.1 In case of a request by a scholar for an inter School and/or inter Department transfer, the applicant shall be treated as if the applicant is a fresh applicant, except that he/she shall be exempted from appearing in the Entrance Test. The decision regarding such candidates shall be based on the performance in the admission interview.

29.2 Scholars who are transferred from one School / Department to another within Alliance University shall be subjected to all the Regulations governing the Ph.D. scholars at the School / Department to which the transfer happens.

29.3 Scholars who wish to transfer credits acquired in the Coursework from a School / Department in Alliance University to another School / Department, shall be required to make an application to the Office of CFR after approval in the DRC. The Office of CFR shall recommend these cases for approval of the Vice chancellor.

Chapter – X

Submission and Evaluation of the Synopsis and Thesis

30. Submission of Synopsis

- 30.1 The scholar may submit the Synopsis only after completing the duration as mandated by UGC guidelines. However, the scholar may be allowed to submit the Synopsis (after obtaining confirmation) three months prior to the completion of their minimum duration, provided they have published two research articles as the first author in regular issues of peer-reviewed journals. Publications where an undergraduate (UG) or postgraduate (PG) student is the corresponding author, or the first author will not be considered for processing the scholar's Synopsis.
- 30.2 The acceptance of the Synopsis is contingent on the scholar fulfilling one of the following criteria after joining the Ph.D. program:
1. Publishing at least one research article in the regular issue of the peer-reviewed journal, based on their research work.
- AND
2. Obtaining one published or granted patent/copyright/policy papers based on their research work, with the filing date occurring after the date of provisional registration for the Ph.D. program. The corresponding author of the patent can be the scholar, supervisor, or co-supervisor. For journal papers, the maximum number of authors allowed is limited to four.
- 30.3 The acceptance of the synopsis by the office of CFR is subject to the approval of the Research Advisory Committee and ratified by DRC. The committee will assess whether the quality of research presented in the final thesis is sufficient for further examination of the thesis and all objectives stated in the research proposal are addressed.
- 30.4 The scholar is required to submit a copy of the research work's Synopsis, prepared as per the prescribed format and specifications, to the Research Advisory Committee through the Supervisor. In case a Co-Supervisor is involved, the copy should also be submitted to them. This submission should take place during the Research Advisory Committee meeting. During the Synopsis approval meeting of the Research Advisory Committee, the scholar must present the completed first draft of the thesis.

30.5 If the Research Advisory Committee approves the research work presented in the Synopsis, the approved Synopsis shall be submitted to the Office of CFR along with a panel of six examiners. These examiners should hold a minimum rank of Associate Professor or an equivalent scientist grade and possess at least five years of post-Ph.D. experience, along with a commendable publication record as indicated by the H index.

Among the six examiners, a minimum of Three should be selected from Institutes of repute from India and / or Central Laboratories. The remaining three examiners should be chosen from esteemed institutions abroad.

31 Submission of Thesis

- 31.1 The Thesis must present a well-structured and scholarly account of the scholar's original research work, which has resulted in the discovery of new facts, techniques, or the correlation of previously known facts (including analytical, experimental, and hardware-oriented aspects). It should showcase a significant contribution to the advancement of knowledge and demonstrate the scholar's capability to conduct sustained research.
- 31.2 The thesis must be prepared adhering to the prescribed format and specifications. After the Synopsis is accepted, the scholar is required to submit one copy of the thesis in PDF format and six hard copy within three months from the date of approval of the Synopsis by the Research Advisory Committee. Additionally, an abstract of the Thesis, consisting of about 2000 words, should be submitted. In exceptional circumstances, the submission of the Thesis may be permitted for a maximum period of six months, but only with prior approval of the Vice Chancellor through the office of CFR. In such cases the extension of six months is contingent to the extent of changes recommended by the RAC. Six months shall be approved only if the RAC notifies that major changes are required.
- 31.3 The Thesis must contain a Certificate signed by the scholar, Supervisor, and Co-Supervisor (if applicable), as per the prescribed format (Annexure 18). This Certificate should affirm that the Thesis represents the scholar's original research work and that the content reported in the thesis is not copied from any other sources. Additionally, it should state that the Thesis has not been submitted elsewhere for any other degree or diploma.

- 31.4 The Thesis will undergo scrutiny to evaluate its overall layout, contents, and quality of presentation by the inch committee. If there are any deviations from the prescribed requirements, the scholar must rectify them in consultation with the Supervisor. Once the necessary corrections are made and approved by the Office of CFR, the scholar is required to submit six corrected hard copies of the Thesis.
- 31.5 Scholars are required to pay fees for each semester during the specified period until the submission of the Thesis. Additionally, any other applicable fees must be paid as notified from time to time.

32 Thesis Evaluation

- 32.1 The Thesis will be sent to two examiners, one from India and another from abroad, who will be nominated by the Vice-Chancellor. These examiners will be selected from the panel of examiners recommended by the Research Advisory Committee. In case the Vice-chancellor considers it necessary, examiners may also be nominated from outside the panel.
- 32.2 The supervisor shall provide a formal acceptance email when submitting the list of proposed examiners to the Office of the Center for Research (CFR). This email must confirm that the supervisor has personally reviewed and approved all nominated examiners, verifying their qualifications, expertise, and suitability for the examination process. The acceptance email shall constitute an official declaration of the supervisor's endorsement of the examiner selection and will be maintained as part of the official examination record.
- 32.3 The examiner must provide an overall assessment of the Thesis and place it in one of the following categories:

Category 1: The Thesis is accepted as submitted, with no changes required.

Category 2: The Thesis is accepted, but the scholar must make minor corrections as noted in the examiner's report and submit the revised version to the Viva Voce Board in open defense format. There is no need to resend it to the examiner.

Category 3: A decision on the Thesis is deferred. The scholar must revise the Thesis based on the examiner's suggestions and submit both the revised Thesis and a point-by-point clarification to the same examiner for further review.

Category 4: The Thesis is rejected, with detailed reasons provided in the examiner's report.

- 32.4 The examiner shall also enclose a detailed report, indicating the Reasons for all four categories in 32.3.
- 32.5 If both examiners recommend the award of the degree, the Thesis will be provisionally accepted. Any minor revisions, modifications, or suggestions made by the examiners shall be addressed before the Oral Examination Board takes place.
- 32.6 If any examiner recommends resubmission of the thesis after, the scholar shall be permitted to revise and resubmit the Thesis along with the resubmission fee within six months, failing which the revised thesis shall not be accepted, and his/her registration shall stand cancelled. The revised Thesis shall be referred to the same examiner for his/her final recommendation on the Thesis which shall be only either for recommendation for the award or for rejection.
- 32.7 If one examiner recommends the award of the degree, while the other recommends rejection, the Thesis will be referred to a third examiner, to be nominated by the Vice-Chancellor. If two out of the three examiners recommend the award, the Thesis shall be provisionally accepted. On the other hand, if two examiners recommend rejection, the Thesis will be rejected, and the scholar's registration shall be cancelled.
- 32.8 If both examiners recommend rejection, the Thesis shall be placed for the DRC recommendations.
- 32.9 If an examiner does not request the Thesis to be sent back to them, the Thesis shall be referred to the Research Advisory Committee/Research Supervisor to verify the corrections carried out as suggested by the examiners.
- 32.10 For individual cases not covered by the above Clauses, they shall be referred to the Vice Chancellor. If deemed necessary, the Vice-Chancellor will then consult the Research Council, which in turn shall refer to the Syndicate for the required actions.

33. Viva Voce in Open Defense format

- 33.1 Upon receiving the evaluation reports, The Oral Examination Board shall be constituted for conducting the open defense. If the Vice Chancellor deems it necessary, an additional member from outside the panel may be nominated.

- a. Indian Examiner of the Thesis or an expert from the panel (if the former is unavailable) - Member
- b. Co-Supervisor of the scholar, if applicable - Member
- c. Supervisor of the scholar – Convener
- d. Dean of the School- Chairperson
- e. Program Director
- f. Director-Research

33.2 The Oral examination, conducted within three months from the date of the oral examination board's issuance, will be in the form of a "Viva Voce" Examination and should not be scheduled on holidays. A circular announcing the date of the Viva-Voce Examination shall be communicated from the Office of CFR to all faculty members, research scholars, all departments across the University, at least 10 days before the examination. The Viva-Voce Examination must have a minimum of ten members present, excluding the Oral Examination Board members.

33.3 If the Oral Examination Board deems the scholar's performance as "not satisfactory," the scholar may choose to reappear for the Oral Examination later, not exceeding three months from the date of the first Oral Examination. For the second attempt, the Oral Examination Board shall include one more expert member nominated by the Vice-Chancellor.

33.4 If the scholar's performance in the second Oral Examination is also reported as "not satisfactory," the Vice-Chancellor may refer the remarks of the Oral Examination Board, along with the Thesis and comments of the Examiners, to a committee formed for this purpose. The decision of the Vice-Chancellor in this regard shall be considered final.

33.5 Upon satisfactory completion of the Viva-Voce Examination, the scholar must submit a soft copy of the corrected Thesis to the office of CFR, duly certified by the Supervisor and Co-Supervisor (if applicable), confirming that all the corrections suggested by the examiners have been incorporated into the Thesis according to the prescribed format and specifications.

Chapter – XI
Award of Ph.D.

34. Award of the Ph.D. Degree

- 34.1 On the successful completion of the Viva-Voce examination, the Chairperson of the Viva-voce Board shall consolidate the recommendations for the award of Ph.D. Degree based on the following:
- a) The Reports of the examiners who evaluated the Thesis; and
 - b) The evaluation of the candidate's performance at the Open Viva-Voce examination.
- 34.2 The Chairperson of the Viva-Voce Board shall submit the consolidated Report to the Registrar (Examination & Evaluation) and candidate shall be awarded the Ph.D. Degree with the approval of the Vice-Chancellor.
- 34.3 In case of the unfortunate demise of a candidate before attending the Ph.D. Open Viva-Voce and in whose case the evaluation Reports from all the examiners are favorable, shall be awarded the Ph.D. Degree posthumously.
- 34.4 Prior to the Convocation of the University, the University may issue a Notification and a Provisional Certificate to the effect that the Degree has been awarded to the scholar concerned, in accordance with the provisions of these Regulations.

Chapter – XII

Miscellaneous

35. Depository with UGC

Upon the successful completion of the evaluation process and the announcement of the Ph.D. award, the University Librarian shall submit a soft copy of the Ph.D. thesis to the UGC within 30 days, ensuring its availability on INFLIBNET for access by institutions and universities. Research scholars are required to create an ORCID ID for proper attribution of their research contributions, as it provides a globally recognized unique identifier. Additionally, scholars must register on Shodh Gangotri to submit their approved synopsis for institutional tracking and update their profiles on Shodh-Chakra to manage research progress effectively using various tools for reference management and project tracking.

36. Cancellation of Registration/Withdrawal of the Degree

If any academic misrepresentation or dishonesty by a research scholar is brought to the notice of the University, before or after the award of the Ph.D. Degree, the University, after due notice and investigation, may cancel the Ph.D. Registration or withdraw the Ph.D. Degree with respect to the scholar.

37. Publication of the Thesis

Following the award of the Ph.D. degree, the scholar may be permitted to publish the thesis within two years, subject to written approval from the University and based on the recommendations of the examiners. The scholar shall submit two copies of the published work to the University Library for official record-keeping.

38. Correspondence by the Scholar with the University

All correspondence, during the research work, by the research scholars with the University shall be made only through the Research Supervisor, Program Director, and office of CFR.

39. Grievance Redressal

39.1 In case of any conflict arising between a research scholar and the Research Supervisor and/or Co-supervisor, or any other dispute arising with the School / Department during the research work, the Grievance Redressal Cell constituted by the University may resolve the issue and recommend necessary action. The aggrieved parties shall be bound by the decision taken by the University, subject to an appeal to the Vice-Chancellor.

39.2 The decision of the Vice-Chancellor in this regard shall be final.

40. Repeal and Savings

40.1 Any modifications made by the UGC from time to time in its Ph.D. Regulations, with due notification by the University shall be applicable to these Ph.D. Regulations.

40.2 On and after the coming into force of these Regulations, any other Regulations in force governing Doctoral Degree Program, prior to these Regulations in the University shall stand repealed.

40.3 In exceptional cases, not covered in the Ph.D. Regulations, 2025 or arising out of the interpretation of this Regulation, the decision of the Vice-Chancellor shall be final.

Chapter XIII

Research Ethics, Integrity and Plagiarism

41. Research Ethics, Integrity and Plagiarism

41.1 Academic Integrity

All research scholars, supervisors, evaluators, and members of committees constituted under these Regulations shall uphold the highest standards of academic integrity and ethical conduct. Every research work carried out at Alliance University shall be characterized by originality, transparency, honesty, and respect for intellectual property. Proper acknowledgment and citation of all sources used in the research work are mandatory.

41.2 Compliance with UGC Regulations

The University shall adhere to the *University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018*, and any subsequent amendments notified by the Commission. All research proposals, synopses, theses, and publications submitted under these Regulations shall conform to the said norms.

41.3 Plagiarism Verification

41.3.1 Every synopsis, thesis, dissertation, and research article submitted by a scholar shall undergo plagiarism verification using UGC-approved plagiarism detection software through the Office of the Centre for Research (CFR) prior to submission for evaluation.

41.3.2 The permissible level of similarity shall not exceed **10%**, excluding quotations, references, standard templates, and bibliographic material, as per UGC norms.

41.3.3 If plagiarism is detected beyond the permissible limit, the scholar shall be required to revise and resubmit the work after appropriate correction. Repeated or severe violations shall attract disciplinary action, including cancellation of registration or withdrawal of the Ph.D. degree, depending on the gravity of the case.

41.3.4 The CFR shall maintain a repository of plagiarism verification reports for all submitted theses for record and audit purposes.

41.4 Research and Publication Ethics (RPE)

41.4.1 Every Ph.D. scholar shall mandatorily complete a **Research and Publication Ethics (RPE)** course, approved by the Academic Council, as a part of the Ph.D. coursework.

41.4.2 The RPE module shall include, but not be limited to, the following components:

- (a) Philosophy and ethics of research
- (b) Research integrity, data management, and reproducibility
- (c) Publication misconduct, authorship ethics, and conflict of interest
- (d) Citation practices and intellectual property rights
- (e) Use of AI tools and digital research resources responsibly
- (f) Awareness of plagiarism and its prevention mechanisms

41.4.3 Completion of the RPE module shall be a **prerequisite for the confirmation of registration** and approval of the research proposal (RAC3 stage).

41.5 Ethical Clearance for Research

41.5.1 Research involving human participants, animals, or sensitive data shall require prior approval from the appropriate **Institutional Ethics Committee (IEC)** or **Institutional Animal Ethics Committee (IAEC)** before the commencement of data collection or experimentation.

41.5.2 The Supervisor shall ensure that the scholar submits the ethical clearance certificate to the Office of the CFR prior to the commencement of such work.

41.5.3 Failure to obtain such clearance shall render the research invalid for the purpose of thesis submission and may attract disciplinary action as decided by the University.

41.6 Reporting of Research Misconduct

41.6.1 Any allegation of plagiarism, data fabrication, falsification, authorship dispute, or violation of ethical norms shall be reported to the **Research Ethics Committee (REC)** constituted by the University.

41.6.2 The REC shall examine all cases, provide the scholar and supervisor an opportunity to be heard, and recommend appropriate action to the Vice-Chancellor.

41.6.3 The decision of the Vice-Chancellor in such matters shall be final and binding.



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- 12/12/18