September 2020

NIAS Doctoral Programme

Rules, Regulations & Guidelines

National Institute of Advanced Studies

Bengaluru, India

About the Doctoral Programme

The PhD programme at NIAS draws on, and is shaped by, the research pursued by the institute's faculty members. The overall orientation of the PhD programme is multidisciplinary research carried out within the broad framework of conflict and security studies, humanities, social sciences, natural sciences and engineering. More specifically, research at NIAS revolves around global scientific issues viz sustainable development goals, education, societal inequalities and conflicts, energy and environment, economic development, climate change, blue economy, science diplomacy, conflict and peace research, strategic and security studies, conservation biology, human-wildlife conflict, consciousness studies, philosophy, and culture and heritage.

The broad interdisciplinary structure of the PhD programme also reflects the institute's vision and mission laid out by the late J.R.D. Tata. As stated out in the mission statement of NIAS, the confluence of different traditional academic disciplines of inquiry needs to be explored in the spirit of understanding the complex nature of contemporary problems facing the society. In particular, NIAS is committed to public education, civic engagement, mentoring of junior scholars, and scholarship in support of public interest and decision making.

History

The PhD Programme was initiated at the Institute in 1999 with the signing of a Memorandum of Understanding with the Manipal Academy of Higher Education (MAHE), instituting a NIAS-MAHE Doctoral Programme. It was agreed at that time that students guided by NIAS faculty who were recognised as guides by MAHE would be allowed to register with MAHE and follow its rules for the doctoral programme. NIAS, then had no financial responsibility for students because most of them worked on faculty research projects supported by grants. Under this arrangement five students registered with MAHE between 1999 and 2004 and doctoral degrees were awarded to all of them.

In 2004-05, the PhD Programme entered the second phase, when it was expanded and regularised on the basis of financial support received by the Indian Space Research Organisation (ISRO) and the Ministry of Earth Sciences, Government of India. With the beginning of this new phase and the admission of the first

coordinated batch of doctoral students on NIAS fellowships in January 2005, rules governing the PhD Programme were framed by the Institute.

University Recognition

NIAS is currently recognised as a centre for research by the University of Manipal Academy of Higher Education **(MAHE),** University of **Mysore,** University of Trans-Disciplinary Health Sciences and Technology (**TDU) and** Defence Institute of Advanced Technology **(DIAT).** NIAS students can choose to register with any of these institutions that will award them the degree. However, they remain NIAS students and are governed by the rules of NIAS and not that of these degree granting Universities. While the requirements of the University of MAHE, University of Mysore, University of Trans-Disciplinary Health Sciences and Technology (TDU) and Defence Institute of Advanced Technology (DIAT) are different, NIAS aims at uniformity in academic standards for all admitted students through coursework, qualifying examination, colloquium presentation, and thesis submission rules. NIAS is also exploring affiliation with other institutions/universities to provide flexibility for student registrations in the future. As of 2020, fifty students have been awarded PhD degree from the above universities.

Eligibility

Candidates who have completed/are completing a Master's / M.Phil degree in any relevant subject in conflict and security studies, humanities, social sciences, natural sciences, and engineering, and with a proven academic record (minimum 55% marks) are eligible to apply. Candidates with professional degrees in medicine, law, public policy and social work are also welcome to apply. While some research and/or field experience in the concerned areas may be preferred for some of the research areas, it is not essential.

Categories of Students

There are four categories of doctoral students at NIAS based on the nature of financial support provided to the students.

I. **NIAS Fellowship Recipients:** These are students selected through the institute-conducted entrance examination and multiple levels of interviews. They are awarded NIAS fellowships to pursue their doctoral work at the institute.

II. **Externally Funded Candidates:** These students are recipients of DST INSPIRE, UGC, CSIR fellowships and are exempted from the written admission test of NIAS. They must qualify two rounds of interviews conducted by NIAS to join the PhD Programme.

III. **Project Candidates:** These students are funded by research grants obtained by the Institute's faculty members from private and public funding sources. If the funding is insufficient to cover four years fellowship, the student with the help of guide must generate the required additional funds. Such candidates are not permitted to shift the project or the school.

IV. **Self-funded Candidates:** These students do not receive any financial support from the institute or any external sources of funding.

V. **International Candidates:** International students may be admitted to the NIAS PhD Programme. Candidates must present their proposals to a committee (followed by an interview) constituted by the Director. This committee will consists of atleast two members from the Ph.D Committee.

NIAS will not bear any financial obligation to support externally-funded and self-funded candidates. For candidates admitted with the support of faculty projects, the concerned faculty member will be responsible for supporting them till the completion of their dissertation research and writing. Opportunities may be available, but not guaranteed, for students not receiving any financial support to work on specific projects during their course of study. The Institute does not discriminate students after they are admitted to the PhD programme and takes academic responsibility for every student.

Uniform Criteria for Selection: Irrespective of the nature of financial support, all students willing to be enrolled in the NIAS PhD programme will have to go through the NIAS procedure.

Uniform Criteria for Graduation: Irrespective of the nature of financial support, all admitted students will have to complete the same coursework, qualifying examination, proposal presentation, annual student colloquium, and other requirements as required by NIAS and the university (MAHE/Mysore/TDU/DIAT) under which the student is registered. Other rules governing the PhD Programme outlined in this document, such as formation of a Student Advisory Committee, approval of the proposal by NIAS, etc., apply to all students unless otherwise specified.

Recognition of Guide: Faculty members who are interested to supervise students should get recognition as a guide from **MAHE**, University of **Mysore**, University of Trans-Disciplinary Health Sciences and Technology (**TDU)** and Defence Institute of Advanced Technology **(DIAT).** They should also offer courses tailored to the specific needs of the students they intend to supervise and take equal responsibility for submission of the thesis. **A recognized supervisor/Professor can register upto 8 PhD students; an Associate Professor 06; Assistant Professor 04; and not more than two students per calendar year.**

If a Faculty member desires to take PhD Scholar/s outside the four categories listed in page 3, the Institute does not assume any responsibility/liability (financial or whatsoever in nature). In such a case, the maximum number of external student/s allowed per Professor/ Associate Professor is 2 and 1 for an Assistant Professor at a given point of time. Such students are prohibited from using the name of the Institute in any documents related to their PhD studies.

However, such students, if they desire, will be permitted to register for courses conducted by the NIAS faculty, after following due procedures, which includes payment of course admission fee of Rs.500/= per course.

Academic Calendar / Course Work

The academic session for the Institute's PhD Programme begins in the first week of August. The first semester runs from **August to November**, and the second semester from **January to April.**

NIAS offers a fellowship of only four years and therefore it is necessary that the registration in Manipal Academy of Higher Education (MAHE),University of Mysore, University of Trans-Disciplinary Health Sciences and Technology(TDU) and Defence Institute of Advanced Technology **(DIAT)** be completed within the first year. **All the core course requirements as well as the qualifier and PhD registration should be completed by March of the first year so that the registration process at the university can be completed before the end of the first year**.

a) **Foundation Course (3 credits)**

The essential outcome of the Foundation Course is interdisciplinarity. NIAS follows the model of a course based on modules of two and one credits. Each school will offer one foundational school level course for 2 credits and two elective courses of one credit each (about 10 classes of 2 hours each). The elective courses may be offered by faculty on any topic of their choice (1 credit, 1.5 h each class). It can range from sports, economics, art to mathematical modelling. (Maybe even one on weaponry!) The aim is to transmit an idea of interdisciplinarity not through disciplinary concerns alone but through the world of ideas in different disciplines. The aim of the one credit modules is to exhibit the ways of thinking in these different disciplines, as well as showing how new and original ideas arise.

b) **The Research Methodology course (4 credits)**

The core **Research Methodology course** (RM) is designed so as to give foundational training in research methods in the different disciplines. This will be a focussed, coherent course that will cover the basic training in research methodologies in different disciplines. More advanced courses in these methodologies may be given by the respective guides, schools or programmes as required. The RM course will also have as part of its structure introductory sessions on Project Management (learning billing and other administrative details), Project Writing, Research and library access

etc. In these sessions, the students will interact with NIAS administrative staff to understand the administrative constraints of project management as well as the librarian who will introduce them to library research.

c) Research and Publication Ethics (RPE) (2 credits)

This course aims to create awareness about publication ethics and publication misconducts. This course has a total of six units focusing on basics of philosophy and ethics, scientific conduct, publication ethics, open access publishing, publication misconduct, and database and research metrics. Hands-on-sessions are designed to identify research misconduct and predatory publications. Indexing and citation databases, open access publications, research metrics(citations, h-index, Impact factor, etc) and plagiarism tools will be introduced in this course. This course will be for 30-hrs. The Ethics committee will organize this course.

d) Academic Writing Course (2 credits)

There will also be a mandatory writing course. The aim of this course is to help the students to write a draft of a proposal by the end of the course. This course is pen to all NIAS students.

e) Domain Specific Course (2 credits)

This will be a course where the output is a well crafted research proposal with literature survey etc. This course will be offered by the guide(s) with added inputs by other faculty if requested by the guide/SAC. This course will help the student to write the proposal in line with the research theme and will include course content of the required literature. The student will present the proposal as the final assignment of this course. The propasal will be later presented to the NIAS audience. There will be periodic assignments and other requirements as decided by the guide. The aim of this course is to prepare the research proposal in the form that will be submitted to the university for registration.

A Student should finish a minimum of **18** credits during their course of study of four years. The course work may consist of lecture-based courses, guided reading courses, seminar style courses, and independent study courses. Students can take courses offered by any of the Schools within NIAS. They can also take courses outside of NIAS for credit with institutes such as IISc, NCBS, ATREE and CSCS. Students who are

planning to take a course outside NIAS (including online courses from Coursera and others) should inform the Guide and Academic Head in advance, and subsequently submit to the Institute the course details including duration, number of lecture hours, subject matter, etc. in order for NIAS to assign the appropriate credits for that course. Additional courses outside the core discipline(s) may be undertaken for more credits, but cannot substitute for the core courses. While the students are welcome to broaden their perspectives by taking more courses outside, they should also be reasonable in managing their course load and ensure that their performance in the institute's mandatory courses and courses required for their dissertation research do not suffer.

Faculty members supervising students should ensure adequate research training and coursework required for their dissertation research.

Course credits are allocated as follows:

1 contact hour per week:	1 credit – 15 hours/semester
2 contact hours per week:	2 credits – 30 hours / semester
3 contact hours per week:	3 credits – 45 hours/semester
4 contact hours per week:	4 credits – 60 hours / semester

Courses are announced prior to the start of each semester and students who register for courses with the approval of the instructor have to submit the registration cards to the office. The office maintains the registration and grade cards for courses, which form the basis of the students' academic record. Students will not be permitted to take long leave to attend the seminar/workshop etc during the mandatory course period. 90% of the class attendance is mandatory. Given the structure and requirement of the course, NIAS will not be able to accommodate any unusual long leave.

Grade	Grade Points	Range of Marks
A+ (Excellent)	4.00	90-100
A (Very Good)	3.67	80-90
B+ (Good)	3.33	70-80
B (Above Average)	3.00	60-70
C (Average)	2.50	50-60
F (Fail)	0	0
Ab (Absent)		

Assessment:

Individual course instructors decide the best ways to evaluate student work. Grades are submitted at the end of each semester. The records of course registration and marks are maintained in the office and each student's CGPA is calculated at the end of each term. Grades are then converted to a 4-point scale to compute the Cumulative Grade Point Average (CGPA). A minimum of 2.5 CGPA is required in each semester to continue in the PhD Programme.

DURATION OF NIAS FELLOWSHIP

The NIAS PhD Fellowship is given for three years with possibility of extension for one year contingent upon the satisfactory progress towards completion of the thesis. During the course of the programme, there are several milestones such as qualifying examination, fellowship enhancement for third year, satisfactory CGPA, registration with the university etc. Each of these stages involves a review and evaluation of student's work, approval by the supervisor and SAC. Students failing to meet these milestones will be put on probation and can risk losing their fellowship and their registration. Those funded by external fellowships or by the Project also have to satisfy all these rules. In case the external fellowship or project funding stops for any reason, the Institute will not be liable to pay the fellowship to the students. In such cases, the guide and the student will have to apply for funding support sufficiently early.

EXTENSION OF FELLOWSHIP BEYOND THREE YEARS

Extension of the fellowship beyond three years may be granted on a case-by-case basis, subject to a satisfactory review of the students' progress. The criteria to get extension for the fourth year are: Completion of field work/ archival research, completed draft of at least 50% of the thesis, an outline of thesis with description of each chapter, a detailed timeline for the 4th year, two publications in their relevant research area and NIAS benchmarks (registration within reasonable time-frame, regularity in six monthly reports, presentation during annual student colloquia/student seminars, participation in institutional activities).The concerned Supervisor and SAC must submit a progress report to the Doctoral Committee mentioning the justification for the extension. The student is also required to give a presentation of their work in order to

be considered for the enhancement of fellowship. The fellowship will not be continued beyond three years without satisfactory completion of this process; nor will fellowship be paid retroactively if there is any delay from the student's or the Supervisor's side in completing these procedures.

Terms and Conditions of Fellowship:

Students cannot take any form of employment, full- or part-time, during the fellowship period. A student may however take up short-term honorary teaching or other honorary assignments with the permission of his/her Supervisor and the Academic Head provided the work is not done during office hours. PhD students are required to actively participate in the Institute activities including conferences, workshops, seminars etc. organized by their respective schools or programmes.

QUALIFYING EXAMINATION

Each student is required to take a Qualifying Examination at the end of the first semester (December). The aim of the exam is to help the student prepare for his/her thesis work. A student who fails to reach the passing percentage (50 per cent) in the Qualifying Exam or is found to have performed unsatisfactorily in other respects has to re-take the Qualifying Exam within six months and will be given only one chance. Passing the Qualifying Exam is a requirement for continuing in the PhD Programme.

Guide and Student Advisory Committee:

Student Advisory Committee (SAC) with the guide should be formed after the qualifying exams at the end of the semester. The SAC consists of Guide, Co-guide, one faculty member from their School and one from another School, and if required, subject experts outside NIAS, preferably those who are residing in Bangalore. Total members of SAC should be four or five including the main supervisor and should have a Ph.D. The rules of SAC are ultimately governed by the requirements of the respective Universities. The timeline for this will be given to the students sufficiently in advance.

The SAC is responsible for recommending further coursework, assessing the student's performance periodically, discussing and evaluating the research proposal, and monitoring his or her progress. The SAC is expected to meet with

the student at least twice a year to assess his/her progress over the previous six months and discuss plans for the next six months, as mentioned in the Academic Calendar. About one month prior to the SAC meeting (around the end of each term), the student should submit a progress report to the SAC members, together with a plan for the next six months. The SAC should discuss this report with the student and any other relevant matters, review the student's performance in coursework and other activities undertaken during the previous period, and make appropriate suggestions and recommendations. Following the evaluation and meeting, the SAC should submit a report signed by all members, incorporating the student's report and their own assessment and recommendations, to the Academic Head. Additional meetings of the SAC may also be called by the Supervisor, members, or student as required. The rules of the university awarding degree should be followed in this respect.

For students who have registered with Manipal Academy of Higher Education(MAHE), University of Mysore and   the University of Trans-Disciplinary Health Sciences and Technology(TDU), the Institute forwards the duly signed bi-annual progress reports to the University as per their requirements. **However, in all cases the evaluation process and meeting of the SAC should be carried out twice a year as an internal requirement of NIAS.**

CHANGE OF SCHOOL OR SUPERVISOR

In general, students are not allowed to change their guides or school.

THESIS PROPOSAL PRESENTATION

After successful completion of the coursework and the Qualifier, the student in consultation with his or her Supervisor and Advisory Committee prepares a thesis proposal and presents it to the SAC for approval. Following the recommendation of the SAC, the student presents the proposal before the PhD Committee in the presence of NIAS faculty and the students. The thesis proposal must be presented at NIAS. The timeline for this will be given to the students sufficiently in advance. Students must submit their proposal to

ETHICS Committee and take clearance certificate from them. Students who do not submit the final proposal before the last date **will lose 50% of their fellowship** till the submission takes place. This reduced fellowship will hold only **for three months** at the end of which, if the student has still not produced the proposal, s/he will be **deregistered** from the program.

REGISTRATION FOR PHD

After securing the approval of the proposal by the PhD committee, the student is recommended for Ph.D. registration and may submit his or her application to MAHE/University of Mysore/TDU/DIAT. Students must prepare their research proposal in accordance with the norms of the university they choose to register with. University registration extension, when required will be extended through the approval of the Director and Academic Head. A student is permitted to register in the University provided he/she has secured a minimum of 12 credits during the course work (I Semester).

PROGRESS REPORTS

Every six months the student must submit a progress report to his or her Advisory Committee, which then meets to evaluate the progress of the student and sends its evaluation report to the Doctoral Committee on the performance and progress of the student. These reports are forwarded by the Institute to the concerned Universities as per their rules. The report should cover courses taken and their grades, dates on which various requirements have been completed, and general overview of progress on research work including substantive points in the case of advanced students. It should also include a work plan for the next six months. The report should be comprehensive, amounting to 8-10 pages. It should be signed by the Supervisor and SAC members. Digital signature of the SAC members will be allowed only if they are out of Bangalore. If a student is using digital signature an email/letter of approval from the concerned SAC member should be attached to the progress report.

Annual Colloquium

Once in a year, preferably in the month of December or January the NIAS annual student colloquium will be organised in which students present their work to the larger NIAS community. It is mandatory for all the students. The annual colloquium is considered to be a part of the review process of the doctoral scholars. Director, NIAS faculty members and SAC members will be in attendance at the colloquium.

Submission of Thesis

As indicated in the Academic Calendar, the submission of the thesis should take place within **four** years after joining the programme. At the end of third year students are expected to have written at least 50% of the thesis besides two publications (journal article and/conference proceedings). **Students and their Supervisors are expected to make every effort to meet this schedule.**

The following procedure for submission of the thesis to NIAS for approval and forwarding to the University of registration should be followed:

1. When the final draft of the dissertation is nearly ready, the student will give a Final Colloquium at NIAS in which she/he presents the results of the thesis. The colloquium is open to the NIAS community and interested outsiders. Members of the SAC should be present. The student may incorporate comments and suggestions received during the colloquium in the final draft. This colloquium does not constitute a review or evaluation process, but it is **mandatory.**

2. The final draft of the thesis should be submitted to the members of the SAC and discussed in a SAC meeting. Suggested changes from SAC members should be incorporated in consultation with the Guide.

3. Following the approval by SAC, the guide should submit a letter to the Academic Head, stating that the thesis is complete and ready for submission to the University. The letter should include signatures of all the SAC members.

4. Upon the receipt of this letter and the required number of thesis copies, ready in all respects in conformance with University guidelines and duly signed by the Guide, and other required documents, NIAS forwards the thesis to the University at which the student is registered for further processing, along with a letter stating that the thesis has been approved by NIAS and the student has met all the NIAS requirements for completion of the Ph.D. degree. Provision of this letter will be contingent on completion of all requirements, including coursework credits, maintaining the required CGPA, etc. Students should consult the respective University guidelines for details on their requirements. The student should submit, in addition to the number of copies required by the University and one for the NIAS Library. Separate copies should be supplied to the Supervisor and SAC members (if so requested).

Following the submission process, the rules of the University which is awarding the degree are followed for evaluation of the thesis.

Exit Policy / Submission

The NIAS Doctoral Programme offers generous fellowships to students to pursue their research for four years. NIAS students are expected to work full-time on their research projects and are not allowed to take up any other employment or assignment during this period. They are expected to complete their work and submit the final draft of the dissertation to NIAS for approval within the stipulated time period. Once the final draft has been submitted to the Institute and approved according to the rules laid down, it is forwarded to the concerned University for examination.

The submission of the thesis to NIAS (not to the University) represents the end point of the student's formal association with NIAS. However, NIAS will help to complete the necessary procedures prescribed by the University, including conducting the viva and other such matters, until the degree is awarded.

As a matter of general principle, the dissertation should be submitted to the Institute before a student leaves to take up a job or other assignment. However, there may be cases where a job becomes available before the dissertation is

complete. In such cases, the student should first seek the help of the Institute in extending the joining date to enable him/her to complete the dissertation first. If this effort fails, s/he should apply to the Institute for special permission to take up the job and leave the Doctoral Programme before completion. This application must be supported by a letter from the Supervisor, endorsed by the Student Advisory Committee members, explaining the extent of progress made, the amount of work remaining, and likely date of completion. The letter should state realistically the expected date of submission, taking into consideration the other responsibilities that the student would be taking up. The student must also give an undertaking in writing that he/she would submit the dissertation by the projected date. The projected date of submission should not be more than *six months* from the date of leaving the Institute.

The PhD Committee will review the application, discuss the matter with the student and his/her Supervisor, and make a recommendation to the Director, who takes the final decision. Under no circumstances should a student drawing NIAS fellowship join a job or assignment without explicit written permission from the Institute. The extension after four years is the prerogative of NIAS, independent of the degree awarding university**. In case the student does not submit the thesis within the timeframe given for extension, she /he will be deregistered as a student of NIAS and hence as student of the PhD granting University.**

Rules and Regulations (Administration)

Identity Card:

For all Students an identity card & a library card will be issued. The identity card & the library card are required passes to avail the facilities at the Institute. The identity card may be obtained from the Head-Administration by filling a prescribed form available in the office. The library card can be obtained from the Library & Information Officer. The applications for the cards require 1 +1 stamp size colour photographs. Without an identity card, students will not be given access to the campus. Loss of the identity card should be reported in writing to the nearest police station and acknowledgement obtained immediately. In addition, the Head Administration should be informed with a request to issue the duplicate card. After submission of the thesis, students should return the identity card and obtain no due certificate from the library.

Bonafide Certificate:

If you need any bonafide certificate or residential proof certificate for obtaining passport/ Visa /Opening a bank account/ obtaining a cell phone connections etc. please contact the Head-Administration. Please send your request to admin@nias.res.in.

An undertaking to be given by the student at the time of admission:

Following admission the student is required to sign a statement undertaking that:

- ❖ She/he will abide by the rules of the Institute;
- ❖ She/he will complete her/his studies in the Institute; and
- ❖ If for any legitimate reasons, she/he is forced to discontinue her/his studies, will do so only on prior intimation to and permission from the Academic Head and the Director.

Accommodation:

Institute has limited hostel accommodation for outstation women students only. Students may approach the Institute in writing, if they are interested for the same. Allotment will be subject to availability and the decision of the Institute will be final. Detailed terms and conditions will be made known through the allotment letter.

Attendance:

Students are required to attend lectures, coursework, seminars, etc., relating to the courses and should not be absent without adequate reasons and prior permission. In addition, students are also required to attend the NIAS Wednesday Discussion Meetings, Student Colloquia and other Institute programmes. Students who have not received permission to be away on work or personal leave are expected to be on campus during the **regular working** hours.

University Fee:

As of now, NIAS is affiliated to University of MAHE, University of DIAT, University of Mysore and University of Trans-disciplinary Health Sciences and Technology(TDU). All fees payable to the University by students for their PhD degree will have to be borne and remitted directly by the students. NIAS will reimburse the university registration fee (one time) and the yearly tuition /Annual

fee. This is applicable only for students admitted under NIAS fellowship, during the fellowship period only. Tuition/annual fee reimbursement will be limited only once per academic year. No other types of fees (such as, examination/thesis/certificate/processing/application) paid to the university will be eligible for reimbursement. **PhD students, who are on Project mode should seek the approval of respective project in-charge for possible reimbursement. All other students will seek the approval of Guide and Dean for the same**.

Leave facility:

A student undertaking research or coursework is eligible for:

1. Personal Leave   30 days per year
2. Medical Leave   30 days per year (extended sickness, hospitalisation)
3. Maternity Leave   90 days with scholarship once during studentship

During the mandatory and other course work, the student is not permitted to take any kind of leave. During their stay at the Institute, students are expected to take a active part in the academic life of the Institute such as Wednesday faculty seminars and other seminars, meetings, final colloquium, viva voce and conferences.

Students permitted to attend approved conferences or to be away from NIAS on other work related to his or her coursework or research work (such as for field visits or library work) shall be considered to be on duty. In such cases, the student must submit a letter to the Guide and the Dean, stating the period of absence and the reasons thereof to the Head-Administration. To avail of leave of absence on personal grounds or to be absent from NIAS on duty, students should send a letter or mail in advance to the Head, Administration, through his/her Supervisor to the Dean, stating their approval. On failure to get the leave duly approved, the period will be treated as **'UNAUTHORISED ABSENCE**" and proportionate deductions will be made from the fellowship.

Medical leave for periods of less than seven days is not permitted. To obtain leave under serial numbers 2 and 3 above, a Medical Certificate and subsequent Fitness Certificate (for resumption of studies) are required. These documents are to be secured from competent medical authorities. Combination of different types of leave is not normally permitted. No carry-over of leave is permitted.

Unused leave under serial number 1 and 2 above shall automatically lapse at the end of the year. For all purposes of grant of leave, the year is reckoned from the date of joining. **Leave taken in excess of the permissible limit will generally be treated as unpaid leave.**

A student who is planning to be away from NIAS on research fieldwork or other work related to his/her course of study should inform the Head-Administration in advance and in writing, through the Supervisor and the Dean, detailing the period of absence and the reasons thereof. No leave can be carried over.

Travel Grant and Contingency:

Students (who are well advanced in their research) are encouraged to participate in international conferences in their areas of research. Towards this, the Institute will provide a financial support not exceeding Rs. 50,000/- (or actual, whichever is less) & this can be availed only once after the completion of first year and before the completion of the fourth year.

Students are eligible for contingency grant of Rs. 10,000/ per year and can be availed with prior approval. The grant can be utilized for buying books, attending national conferences (one per year from the second year onwards), fieldwork, Xerox, printing and binding of thesis and other research/ educational activities. The books can be purchased from outside, only if it is not available in the Institute library and the same should be accessioned by the Institute library before claiming for reimbursement. Current entitlement of travel and reimbursement of other expenses in connection with the fieldwork and participation in national conferences/seminars are as under: -

Travel Entitlements – out station	First Class/AC III Tier/AC Chair Car
Accommodation, local travel within the city, Food	Reimbursement of Hotel Accommodation/guest house of up-to Rs.750/= per day; Reimbursement of local travel expenses (Bus/Auto) up-to Rs.225 per day for travel with in the City & Reimbursement of Food bills not exceeding Rs.500/= per day. (while on outstation)

Please note that reimbursement will be given only on submission of original bills. Travel support for participating in an International and National Seminar/

Conference will be given only if the Student is presenting a paper or poster presentation. Students must apply in advance and obtain the approval for utilising the contingency grant through the Supervisor and Dean of the School, to the Head- Administration with a detailed estimate of amount required. Grant of contingency funds is at the discretion of the Director. All claims should be submitted to the office within fifteen days of incurring the same.

Sports Facilities:
Facilities for playing table tennis (TT), indoor badminton and carom are available. The TT table and badminton facilities are available at the Atrium of Faculty Block.

Medical Insurance:
NIAS and Project funded students are covered under the Janata Mediclaim Policy of the New India Assurance Company with an individual coverage of Rs.75000/= per annum from the 1st of November of the year in which they join NIAS till the end of fellowship period. More details can be obtained from the office.

Canteen:
Students can avail of the NIAS canteen facility for lunch on working days, on monthly payment basis. Coffee/Tea will be served in the morning from 10-10:30 am and afternoon 3 - 3:30 pm. Students should sign the canteen register in the morning at tea time if they want to take lunch that day.

Wi-Fi facility
NIAS has excellent internet connectivity. Wired as well as wireless access through multiple ISPs are made available for the user which provide for uninterrupted services. Users can switch between these networks based on their specific need as the services provided by these differ significantly.

NIAS Library
NIAS library has a well-balanced collection of books across disciplines in which our faculty and students are actively engaged in research. The collection is liberal in scope but selective in titles with an emphasis on acquisition relevant to interdisciplinary research, doctoral programme and courses conducted by the Institute.

The Library collection includes books, journals, bound volumes of journals, doctoral theses, magazines, newspapers as well as audio-visual resources. Electronic subscriptions include e-journals and databases. The library also acquires Census and NSSO data in electronic form on a regular basis.

Membership and Borrowing Privileges

Students should submit Library registration form along with a soft copy of their photograph for obtaining the Library ID card.

- Students are eligible to borrow 10 books at a given time
- Loan period is for one month
- One renewal for a period of one month is permitted (unless the book is reserved)
- Books have to be physically brought to the Library for renewal
- Borrowing privileges are not transferable
- Reference books and loose issues of journals are not circulated

Library page in NIAS Website

The library page in NIAS website provides access to online catalogue of Library resources. Current journal subscriptions are listed alphabetically on the website and are accessible within the campus as well as remotely via Athens. Athens credentials will be provided to students for off campus access.

Recommending Library resources

Students are encouraged to recommend relevant Library resources including books and journals with the permission of their respective thesis advisors.

New Books Alert Service

Monthly list of new additions is sent to all faculty and students and posted on the Library page in NIAS website. Book arrival notice of recommended books is sent to the concerned user.

Photocopy Service

Photocopy, printing and scanning facilities are available in the Library. Materials can be photocopied subject to copyright restrictions. Printing articles from licensed content is restricted to NIAS community.

Inter-library loan services

Library offers inter-library loan services to students. On request, document delivery services are also provided.

Thesis Submission

Students should deposit the thesis to the Library in the following formats.
1. One hardcopy of the accepted version of the thesis
2. Soft copy of the accepted version (single PDF)
3. Chapter-wise soft copies of the accepted version in PDF

Academic Infractions

Plagiarism and other academic infractions are seriously viewed and will lead to expulsion from the institute and termination of fellowship. While proposals and thesis submission are run through Turnitin anti-plagiarism software by the Librarian, we expect the students to adhere to the same standards for assignments in courses irrespective of the weights of the assignment.

1. NIAS Policy for Promotion of Academic Integrity and Prevention of Plagiarism 2019 http://eprints.nias.res.in/1844/
2. NIAS Research Ethics Policy 2019 http://eprints.nias.res.in/1845/

Workplace Conduct:

NIAS is strongly against discrimination and harassment based on gender, caste, religion to class. We expect the NIAS environment to uphold the principles of dignity and respect equally to all members of the faculty or students.

NIAS Policy against sexual harassment at workplace: **http://eprints.nias.res.in/1355/**

NIAS Research Ethics Policy - 2019

PREFACE

A research ethics statement or protocol is an essential part of every proposal for research involving human and/or animal subjects, and must be submitted to the NIAS Ethics Committee for review and approval. This document contains the Principles and Guidelines on Research Ethics adopted by NIAS.

Section 1 outlines the ethical principles that should guide research involving human subjects, in controlled as well as 'natural' settings. Section 2 lists ethical guidelines for research with animals in the field and in captivity. Section 3 concerns the responsibilities of researchers to the public and to the research community, and explains various kinds of research misconduct. Section 4 outlines the current procedures for obtaining Ethics Clearance for a research proposal at NIAS.

Given the complexity and diversity of research projects and contexts, the principles and guidelines outlined below are meant to help researchers to maintain an ethical framework for their research, rather than to operate as a rigid set of rules. As it is not possible to develop guidelines or procedures that would apply to every possible research setting, researchers are urged to consult the research ethics policies and sample protocols developed by professional bodies or relevant institutions in their own areas of research, and to tailor their protocols to address whatever ethical issues may arise due to the objectives and methods of their particular projects. Each section provides references to resources for further information.

Section 1:
Ethical Principles and Guidelines for Research with Human Subjects

1.1. **Respect for the autonomy, rights and dignity of participants:** In conducting research, disseminating results, or performing other professional activities, researchers must ensure that they do not harm the safety, dignity, or privacy of the people with whom they work, or those who might reasonably be thought to be affected by their research. The autonomy and rights of participants must be respected and protected.

    1.1.1. Participation in the research process must be voluntary, and based on informed consent and a non-exploitative research relationship.

    1.1.2. Participants must be informed that they may withdraw from a research project at any time.

1.2. **Protection of privacy, anonymity and confidentiality of subjects:** The privacy of subjects must be ensured and protected. Information about participants and information provided by them, including information obtained indirectly, must be kept confidential. Subjects' permission is needed to share such information, and their anonymity must be maintained unless specifically requested otherwise.

    1.2.1. In fieldwork situations in particular, the researcher should determine in advance whether their providers of information wish to remain anonymous or be recognised, and make every effort to comply with those wishes.

    1.2.2. Potential subjects should be informed about the measures taken to ensure the anonymity, confidentiality, and security of all types of data collected (digital, visual, material, etc).

1.3. **Risk minimisation:** Adequate precautions should be taken to minimise risk and protect the well-being of participants. The researcher has a duty to maximise benefits and minimise risks to human subjects.

1.3.1. Techniques used as part of methodology need to be examined with regard to social risks.

1.3.2. Research, whether experimental or observational, should always be carried out with respect for the dignity of the individuals, for their beliefs, for their privacy, especially in situations involving special groups such as the young, the old, accident victims, the ill or prisoners.

1.3.3. Compensation for the time and efforts of the participants could also be considered, where appropriate.

1.4.   **Professional responsibility:** A researcher must be both responsible and socially accountable. To avoid confusion and conflicts of interests, professional boundaries of competence should not be crossed, especially in the context of multidisciplinary research where the boundaries may be unclear.

1.4.1. Researchers must maintain professional boundaries *vis-à-vis* research subjects.

1.4.2. Researchers should be sensitive to the gender and socio-cultural nuances during interaction with human participants, and conduct themselves with personal integrity.

1.4.3. Researchers must make good-faith efforts to identify potential ethical claims and conflicts in advance when preparing proposals and as projects proceed.

1.5.   **Informed consent:** Prior oral or written informed consent should be taken; special care needs to be exercised with regard to oral consent.

1.5.1. Researchers have a responsibility to be both honest and transparent with all stakeholders about the nature and intent of their research. They must not deceive the people they are studying with regard to their research goals, funding sources, activities, methods, findings, or expected impacts of their work.

1.5.2. Standard research ethics protocols fot clinical, experimental and survey settings require advance informed consent of subjects in writing, in which the subject signs a consent form which details the objectives and methods to be employed in the research project, the nature of their participation, and possible negative effects.

1.5.3. In fieldwork situations where obtaining signatures on consent forms is difficult or impossible, oral consent may be obtained through other methods. For example:

1.5.3.1. Make participants aware of your presence and the purpose of the research whenever possible.

1.5.3.2. Discuss with potential research subjects how participation in the study may affect them.

1.5.3.3. Take permission from participants to record interviews or interactions (including note-taking, audio, video, and photographic recording).

1.5.3.4. Engage in an ongoing discussion with collaborators or human subjects during fieldwork, about the nature of study participation, its risks and potential benefits.

1.5.3.5. When observing public events or in other contexts where the researcher is not known to outside participants, the researcher should take all practicable steps to be introduced by local participants and be identified as a researcher. However, not everyone observed or photographed will be known to the researcher. Studies of large-scale events should be guided by standard ethical considerations, such as protecting the privacy and dignity of participants and risk minimisation.

1.6.   Recording, storing and managing data and publication of results:
The protection of human subjects requires that data be used, stored,

and disclosed in a way that ensures the privacy of individual research subjects.

1.6.1. All original research records, notes, recordings, and other material collected must be protected from unauthorised access by others. Researchers must ensure that nothing that they publish or otherwise make public would permit identification of individuals that would put their welfare or security at risk.

1.6.2. In publishing or otherwise disseminating their research results, researchers must ensure that the safety, dignity, and privacy of their research subjects are not compromised.

References and resources:

Ethical Guidelines for Good Research Practice. Association of Social Anthropologists of the UK and the Commonwealth (ASA), 2011. Available at: http://www.theasa.org/downloads/ASA%20ethics%20guidelines%202011.pdf

Code of Ethics of the American Anthropological Association, February 2009. Available at:

http://www.aaanet.org/committees/ethics/ethcode.htm

Ethical Guidelines for Social Science Research in Health. National Committee for Ethics in Social Science Research I Health CEHAT (Centre for Inquiry into Health and Allied Themes),

Mumbai, 2004. Available at: http://www.cehat.org/go/uploads/EthicalGuidelines/ethicalguidelines.pdf

Ethical Guidelines for Biomedical Research on Human Participants. Indian Council of Medical Research, New Delhi, 2006. Available at: http://icmr.nic.in/ethical_guidelines.pdf

Ethics and Code of Conduct of Clinical Psychologists. Guidelines 2012-2013. Indian Association of Clinical Psychologists, 2014. Available at: http://www.iacp.in/node/159

Section 2:
Ethical Guidelines for Research on Animals in the Field and in Captivity

1.1.   The investigator should first address some basic concerns before conducting behavioural research on animals, namely:

1.1.1. Does the purpose of the research justify the use of animals?

1.1.2. What criteria must be met for the observations or experiments to be acceptable?

1.1.3. Is the extent of pain/distress/suffering that the animal may experience acceptable?

1.2.   Three fundamental concepts for improving the welfare of animals used for scientific research are known as the Three Rs:

1.2.1. *Replacement* of animals with other methods;

1.2.2. *Reduction* of number of animals used; and

1.2.3. *Refinement* of techniques used to reduce the impact on animals.

1.3.   Using animals for scientific purposes is only acceptable when the physical or psychological harm done to animals is outweighed by the benefits of the research to humans and other species, as can be potentially justified by the researcher to the maximum extent possible.

1.4.   When a species is chosen for research, two main '-isms' must be avoided as far as practicable:

1.4.1. Sizeism, where smaller species are judged as less capable of suffering; and

1.4.2. Speciesism, where some species are thought to be less capable of experiencing suffering because we find their appearance or

behaviour unattractive, or because, in the wild, they are a pest species or live in an environment we consider undesirable.

1.5. Pain, distress or suffering to animals during the course of research should be minimised both in duration and magnitude to the greatest possible extent.

1.6. Investigators should consider the quantity and quality of space and care, which they provide for their animals, and remain appraised of best practices in the current relevant literature.

1.7. Wherever possible, non-invasive methods of biological sample collection should be used. Mutilatory forms of identification (e.g., toe-amputation), or those which injure substantial amounts of tissue, should be assumed to cause substantial acute and perhaps chronic pain, and should generally be avoided.

1.8. Even when study methods are non-invasive, human presence can have a considerable effect on the behaviour of animals, ranging from causing stress in the study species to the transmission of diseases to the animals. Hence, investigators must be always try and minimise their intrusion in animal habitats.

References and resources:

Sherwin, C.M., et al. (2003). Guidelines for the ethical use of animals in applied animal behaviour research. *Applied Animal Behaviour Science* 81: 291-305.

Cuthill, I. (1991). Field experiments in animal behaviour: methods and ethics. *Animal Behaviour* 42: 1007-1014.

Kirkwood, J.K. and Sainsbury, A.W. (1996). Ethics of interventions for the welfare of free-living wild animals. *Animal Welfare* 5: 235-243

MacClancy, J. and Fuentes, A. (2013). *Ethics in the Field: Contemporary Challenges*. Berghahn Press, New York.

Section 3:
Responsibilities of Researchers to the Public and Research Community

The credibility of the scientific enterprise with the public and with the academic community depends on the maintenance of the highest ethical standards in research. This section discusses general principles regarding ownership and sharing of data and research results, authorship, giving due attribution and acknowledgements, and scientific misconduct.

1.1.   **Sharing of research results:**

1.1.1. Every investigator has an obligation to the general scientific community to cooperate to publish and share research findings and data with others. Publication of research results is important as a means of communicating to the scholarly world so that readers may be informed of research results and other researchers may build on the reported findings. However, the following cautionary remarks apply:

1.1.2. Researchers – especially those working with human subjects – have an ethical obligation to consider the potential impact of the communication, publication, or dissemination of their research results on all directly or indirectly involved.

1.1.3. Results of research should be made public and shared with participants and the research community in an appropriate manner, subject to the ethical commitment to protect the anonymity and confidentiality of research participants.

1.1.4. Researchers should not withhold research results from research participants when those results are shared with others.

1.1.5. Publicly funded research should be open to review by the academic community and the public, subject to the requirement of protecting the privacy of subjects.

1.2. **Research misconduct:** Research misconduct is defined as fabrication, falsification, or plagiarism, including misrepresentation of credentials, in proposing, performing, or reviewing research, or in reporting or publishing research results.

  1.2.1. It is a primary responsibility of a researcher or writer to avoid making either a false statement or an omission that distorts the research record. Any intentional or reckless disregard for the truth in reporting observations may be considered to be an act of research misconduct.

  1.2.2. False or deceptive public statements about one's research must be avoided.

  1.2.3. Reporting suspected research misconduct is a shared and serious responsibility of all members of the academic community. All reports are treated confidentially to the extent possible, and no adverse action will be taken, either directly or indirectly, against a person who makes such an allegation in good faith.

  1.2.4. It is unethical to release to the media scientific information contained in an accepted manuscript prior to its publication.

1.3. **Authorship:** As defined by the University of Cambridge Guidelines on Authorship,* an author is an individual judged to have made a substantial intellectual or practical contribution to a publication and who agrees to be accountable for that contribution.

  1.3.1. This would normally include anyone who has:

    1.3.1.1. made a significant contribution to the conception or design of the project or the acquisition, analysis, or interpretation of data for the work; **AND/OR**

    1.3.1.2. drafted the work or reviewed/revised it critically for important intellectual content.

1.3.2. This is a general guideline and may not apply to all disciplines or journals which may set different standards.

1.3.3. Anyone listed as an author on a paper should approve the final version of the paper and accept responsibility for ensuring that he or she is familiar with its contents and can identify his or her contribution to it.

1.3.4. Individuals who contributed to the work, but whose contributions were not of sufficient magnitude to be listed as authors should be properly acknowledged, usually in an acknowledgements section.

1.3.5. Authors should be careful to ensure fair and proper acknowledgement of contributions from individuals who have not been listed as an author and make sure that acknowledgements fully reflect the level of the input of the contributor.

1.3.6. If more than one person contributes significantly to the work, the decision of which names are to be listed as co-authors should reflect the relative contributions of various participants in the research and in the writing for the publication. A person whose contribution merits co-authorship should be named even in oral presentations, especially when abstracts or transactions of the proceedings of a conference at which a paper is presented, is published. These criteria are intended to reserve the status of authorship for those who deserve the credit and can take responsibility for the work.

1.3.7. Both 'ghost' authorship and 'guest' authorship should be avoided. Ghost/guest authorship occurs when an individual makes/does not make a substantial contribution to the research OR to the writing of the paper but is not listed/listed as an author.

1.4. **Acknowledgements, due credit, and plagiarism:** The work of others should be cited or credited, whether published or unpublished and whether it is written work, an oral presentation, or material on a website. Authors who present the words, data, material, or ideas of

others with the implication that they are their own, without attribution in a form appropriate for the medium of presentation, may be guilty of *plagiarism* and/or *research misconduct*.

1.4.1. The same definition of plagiarism that applies to publications also applies to student submissions for coursework, dissertations in draft and final form, and applications and proposals (including the background and methodological sections).

1.4.2. A biographical sketch incorporated into a proposal or a curriculum vitae used in an application for a fellowship or any other position must follow the same standards of accuracy as a research publication.

1.5. The detailed policy and procedures governing academic misconduct and plagiarism are given in the 'NIAS Policy for the Promotion of Academic Integrity and Prevention of Plagiarism' document.

1.6. **Maintenance of records and data:** In order to preserve accurate documentation of observed facts with which later reports or conclusions can be compared, every researcher has an obligation to maintain a clear and complete record of data acquired.

1.6.1. The intentional destruction of research records or the failure to maintain and produce research records supporting a questioned research publication or report may be considered to be circumstantial evidence of research misconduct.

1.6.2. In some disciplines, such as anthropology, field notes are viewed as the product of the researcher rather than as data, and are not customarily made available to others for ethical reasons. To the contrary, they must be stored carefully to protect the privacy and confidentiality of subjects. If funding agencies or researchers' institutions require the archiving of such material, it must be redacted to protect the anonymity of subjects.

References and resources:

* University of Cambridge, Research Integrity, Guidelines on Authorship. https://www.research-integrity.admin.cam.ac.uk/research-integrity/guidelines/guidelines-authorship

Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals, International Council of Medical Journal Editors, 2014. Available at: http://www.icmje.org/icmje-recommendations.pdf

Guidelines for Responsible Conduct of Research, Office of Research Integrity, University of Pittsburgh, Pittsburgh, 2011. Available at: http://www.provost.pitt.edu/documents/GUIDELINES%20FOR%20ETHICAL%20PRACTICES%20IN%20RESEARCH-FINALrevised2-March%202011.pdf

Section 4:
Procedure to Obtain
Ethics Protocol Clearance

4.1.   All research proposals developed at NIAS for submission to funding agencies or to Universities for Ph.D. registration, and that include work with animal and/or human subjects, must incorporate an ethics statement based on the above guidelines and ethical principles that are standard in the researcher's discipline or area of research. The ethics protocol should refer to the methodology section of the proposal and address all the relevant points outlined above, e.g., how informed consent will be obtained, how confidentiality will be assured and data protected, how the well-being of animals will be ensured, and so on.

4.2.   If required by the funding agency, the research methodology and ethics protocol of a project should be submitted by the Principal Investigator to the NIAS Research Ethics Committee at least one month prior to the planned date of submission. The Principal Investigator will respond to any issues of concern raised by the Committee with regard to maintaining research ethics. Once satisfied, the Committee will issue the Ethics Clearance Letter.

4.3.   For **Ph.D. proposals**, the ethics review will take place at the same time that the students present their proposals to the Institute for approval. The following procedure should be followed:

   4.3.1. Research proposals should include the ethics protocol / statement as part of the methodology section, or as a separate attachment.

   4.3.2. When the 'ad hoc' committee to review the doctoral proposal is appointed, the student should also send the draft proposal to the Research Ethics Committee along with the ethics protocol. Members of the Committee will attend the student's proposal presentation, during which they may raise questions about the ethics protocol.

4.3.3. After reviewing the proposal and ethics statement, the Committee will provide their feedback/ suggestions to the student, which should be considered when revising the proposal for submission to the University. In case the Committee has any concerns about the ethics protocol, they will call the student for a discussion.

4.3.4. After finalisation of the proposal, the student must run a plagiarism through the NIAS Library and forward the similarity report to the Committee along with the final proposal and ethics statement. Duplicate content (excluding the reference list) should not exceed the maximum specified by the University to which the proposal is being submitted.

4.3.5. The Committee will review the revised proposal and other documents. When the protocol and similarity report are found to be satisfactory, an ethics clearance letter signed by the Committee members will be issued.

4.4. **Quorum:** A quorum of four members should be present at any review meeting. The signatures of four out the six members is sufficient for issuing the clearance letter.

4.5. All decisions/recommendations shall be approved by the Head of the Institution.

NIAS Policy for Promotion of Academic Integrity and Prevention of Plagiarism

Preamble

Whereas the University Grants Commission has issued a notification on 23rd July 2018 entitled 'UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018 (Ref: F. 1-18/2010(CPP-II), the National Institute of Advanced Studies (NIAS), Bangalore, as a Higher Education Institution of India as per the UGC definition, in order to comply with the UGC rules, and to promote and ensure academic integrity and originality and prevent academic misconduct (including plagiarism) in all the work produced by members of the Institute, has adopted the following regulations:

1. **Short title, application and commencement –**
   a. These regulations shall be called the National Institute of Advanced Studies Promotion of Academic Integrity Policy.
   b. They shall apply to the students, faculty, researchers and staff of the Institute.
   c. These regulations shall come into force from the date of their notification by the Institute.

2. **Definitions** -
   In these regulations, unless the context otherwise requires—
   a. 'Academic Integrity' is defined as intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property or original academic work;
   b. 'Author' includes a student, faculty member, researcher or staff member of NIAS claims to be the creator of the work under consideration;
   c. 'Commission' means the University Grants Commission as defined in the University Grants Commission Act, 1956;
   d. 'Common knowledge' means a well-known fact, quote, figure or information that is widely known and publicly available;
   e. 'Degree' means any degree specified by the University Grants

Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;

f. 'Faculty' refers to a person who is teaching and/or guiding students enrolled in NIAS in any capacity whatsoever, i.e., regular, visiting, honorary, adjunct, temporary etc;

g. 'Information' includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;

h. 'Institutional Academic Integrity Panel' shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism or other forms of academic misconduct, and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;

i. 'Plagiarism' means the practice of taking someone else's work or idea and passing them as one's own.

j. 'PhD Programme' refers to the NIAS Doctoral Programme, through which students are awarded degrees by affiliating Universities.

k. 'Researcher' refers to a person conducting academic / scientific research in the Institute.

l. 'Script' includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI.

m. 'Source' means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text;

n. 'Staff' refers to all non-teaching staff working in the Institute in any capacity whatsoever, i.e., regular, temporary, contractual, outsourced etc.;

o. 'Student' means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);

p. 'University' means a university established or incorporated by or

under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;

q. 'Year' means the academic session in which a proven offence has been committed.

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

3. Objectives

a. To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among students, faculty, researchers and staff.

b. To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.

c. To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

4. Awareness Programs and Trainings

a. In accordance with UGC guidelines, the Institute is responsible for conducting awareness programs and trainings**,** to sensitize **and instruct** students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, and acknowledgement of a source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source. NIAS shall:

   i. conduct sensitization seminars/ awareness programs once a year on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

   ii. include the cardinal principles of academic integrity and the elements of responsible conduct of research and publication ethics within the compulsory coursework for PhD students (Foundation and/or Research Methodology Courses).

iii. train student, faculty, researcher and staff in the use of plagiarism detection tools and reference management tools.

iv. establish a facility equipped with modern technologies for detection of plagiarism.

v. encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

5. Curbing plagiarism

a. NIAS shall declare and implement a technology-based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.

b. The mechanism as defined at (a) above shall be made accessible to all engaged in research work including students, faculty, researchers and staff.

c. Every student submitting a thesis, dissertation, qualifier examination paper, research proposal, or any other such documents to the Institute or the affiliating University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

d. The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by NIAS.

e. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.

f. All dissertations, publications and in-house publications will be stored on the NIAS Institutional Repository.

g. The affiliating University shall submit to INFLIBNET soft copies of all dissertations within a month after the award of degrees for hosting in the digital repository under the 'Shodh Ganga e-repository'.

6. Similarity checks for exclusion from plagiarism

The similarity checks for plagiarism shall exclude the following:

a. All quoted work reproduced with all necessary permission and/or attribution.

b. All references, bibliography, table of content, preface and acknowledgements.

c. All generic terms, laws, standard symbols and standards equations.

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

7. **Levels of Plagiarism**
   Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:
   a. Level 0: Similarities up to 10% - Minor similarities, no penalty
   b. Level 1: Similarities above 10% to 40%
   c. Level 2: Similarities above 40% to 60%
   d. Level 3: Similarities above 60%

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

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

9. **Institutional Academic Integrity Panel (IAIP)**
   a. The Institute shall notify a IAIP whose composition shall be as given below:
      i. Chairman - Senior academician of NIAS, to be nominated by the Director
      ii. Member - Senior Academician other than Chairman, to be nominated by the Director
      iii. Member - One member nominated by the Director from outside NIAS
      iv. Member - A person well versed with anti-plagiarism tools, to be nominated by the Director

The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

b. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.

c. The IAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

d. The IAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the Director within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

e. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.

f. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

10. **Penalties**

Penalties in the cases of plagiarism shall be imposed on students, researchers, faculty and staff of NIAS only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

a. **Penalties in case of plagiarism in submission of thesis and dissertations**

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

i. **Level 0: Similarities up to 10% -** Minor Similarities, no penalty.

ii. **Level 1: Similarities above 10% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.

iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.

iv. **Level 3: Similarities above 60%** -Such student registration for that programme shall be cancelled.

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

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

b. Penalties in case of plagiarism in academic and research publications
   i. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
   ii. **Level 1: Similarities above 10% to 40% -** Shall be asked to withdraw manuscript.
   iii. **Level 2: Similarities above 40% to 60%**
      Shall be asked to withdraw manuscript.
      Shall be denied a right to one annual increment.
      Shall not be allowed to be a supervisor to any new Ph.D.
      Master's, or M.Phil., student for a period of two years.
   iv. **Level 3: Similarities above 60%**
      Shall be asked to withdraw manuscript.
      Shall be denied a right to two successive annual increments.
      Shall not be allowed to be a supervisor to any new Ph.D.,
      Master's, or M.Phil. student for a period of three years.

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

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

Note 3: NIAS shall provide a mechanism so as to ensure that each of the paper publication/ thesis/ dissertation by the students of NIAS are checked for plagiarism at the time of forwarding/submission. The plagiarism software will be made available to all faculty, researchers and staff, who will be encouraged to check and correct their scripts before submission.

Note 4: If there is any complaint of plagiarism against the Head of the Institute, a suitable action, in line with these regulations, shall be taken by the Governing Council.

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

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

Note 7: All decisions/Recommendations shall be approved by the Head of the Institution.

[NOTE: This policy statement is based on the Notification issued by the University Grants Commission on 23rd July 2018 entitled 'UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018   Ref: F. 1-18/2010(CPP-II)]

Academic Calendar & expectations

(Academic Session)

Entrance Exam and Interviews	Admission of students to the NIAS Doctoral Programme - June
1st Year:	
❖ Reporting to the Institute	1st August
❖ August – December (1st Semester)	Foundation course, Research Methodology Course, Writing course, Research Ethics course and Proposal Course
August 8th	Finalization of course choice
	Course work amounting to at least 12 credits
❖ Fourth week of December	Qualifying Examination
❖ First week of January	Appointment of Student Advisory Committee (SAC)
❖ Ethics Committee	Committee Clearance
❖ January	Presentation of thesis proposal at NIAS
	Application for Ph.D registration to University
	Ph.D registration process
❖ February	University Registration
❖ January to May (2nd Semester)	Course work amounting to six credits
	Required 18 credits for thesis submission
❖ March onwards	Field work
❖ July	Bi-annual assessment by SAC
❖ January	Bi-annual assessment by SAC

2nd Year:	
❖ July	End of Second Year -Procedure of JRF to SRF
❖ July	Bi-annual Assessment by SAC
❖ August	Completion of field work and data entry
❖ December/January	Annual Student Colloquium on work in progress
3rd Year:	
❖ August	Enhancement of fellowship subject to successful completion of all requirements up to the end of the second year
❖ December	Annual Student Colloquium on work in progress
❖ January	Bi-annual assessment by SAC Writing for publication 2 Publication is mandatory before submission of thesis to the University
❖ July	Bi-annual assessment by SAC
❖ July	Annual Assessment and Third Year Review by Doctoral Committee
❖ End of third year	Application for extension of fellowship if needed; student colloquium and evaluation
❖ December/January	Annual Student Colloquium on work in progress
4th Year :	
❖ January	Bi-annual assessment by SAC
❖ February and March	First draft submission of thesis
❖ April and May	Final Student Colloquium (last date)
❖ 31 July	Last date of thesis submission