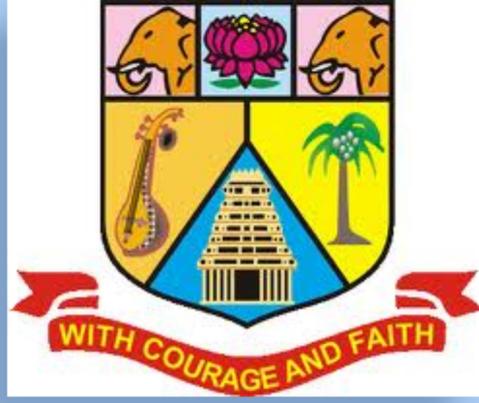


அண்ணாமலைப் பல்கலைக்கழகம்

# ANNAMALAI UNIVERSITY

Annamalainagar, Chidambaram, Tamil Nadu – 608002



## Annamalai University ORDINANCES 2020

[Revised as per the amendments made in Tamil Nadu  
University Laws (Amendment & Repeal) Act, 2021]

**APPROVED BY THE SYNDICATE**

**Vide Res. No.5, Dated 28.08.2023**



## **ORDINANCE**

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## **ORDINANCES**

In exercise of the powers conferred under clause (b) of sub-section (1) of Section 20 of the Annamalai University Act, 2013 (Tamil Nadu Act, 20/2013), the Syndicate of the Annamalai University hereby makes the following Ordinances:-

### **PRELIMINARY**

#### **Short Title, Commencement and Interpretation**

- 1 (a). These ordinances shall be called “Annamalai University Ordinances”. They shall have effect from such date as the Syndicate may direct and shall be published in the Tamil Nadu Government Gazette.
- 1 (b). Unless the context otherwise requires, the ordinances shall be interpreted to have the same meaning as they have in the Act and the Statutes.

## **ORDINANCES**

### **PART – I**

#### **ADMISSION OF STUDENTS TO THE PROGRAMMES**

1. The University shall offer the Programmes of study leading to all Degrees, Titles, Diplomas and other academic distinctions through the Departments of the various Faculties under Regular Mode (on-campus) and under Distance Mode (off-campus) by the Directorate of Distance Education, as per Section 31(b) of Annamalai University Act, 2013.
2. The Students shall be admitted to the various Programmes offered by the University in accordance to policy of Government of Tamil Nadu with the eligibility conditions as prescribed by the Academic Council and approved by the Syndicate, as per the Section 31(a) & (d) of Annamalai University Act, 2013.
3. Admission of Students to University Examinations, the conduct of Examinations and the conditions on which the students shall be admitted to the University Examinations in respect of the Programmes other than Ph.D., and D.Litt., & D.Sc., shall be made as prescribed in the Examination Manual Ordinance(Section 31 (e), (f) and (g) of Annamalai University Act, 2013).
4. Admission of Students, conduct of Examinations and award of Degree for the Ph.D. Programme shall be made as prescribed in the Ph.D. Ordinance (Section 31 (a) and (d) of Annamalai University Act, 2013).
5. Admission of Students, conduct of Examinations and award of Degree for the D.Litt. & D.Sc. Programmes shall be made as prescribed in the D.Litt. & D.Sc. Ordinance.

## **TRANSITORY PROVISIONS**

### **Amendments to the Ordinance**

6. These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, based on the recommendations of the Academic Council, as and when situation warrants.

### **Interpretation of the Ordinance**

7. If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## **PART – II**

### **EXAMINATION MANUAL**

#### **1) Objective and Scope**

The conduct of examinations and declaration of results is one of the important activities of the Annamalai University. The Examination Section is the backbone of the examination system. It is of paramount importance that the examinations are conducted with utmost precision, fairness and objectivity to gain public credibility and esteem. In order to achieve this, all rules and procedures relating to the examinations should be so well delineated as to leave nothing to chance and assumption.

This Ordinance/Manual is an effort in that direction. It defines the roles of Officers and Staff, their responsibilities, protocols, procedures to be followed in the conduct of the examinations of Annamalai University.

All the Forms/ Proforma for use in the examination process/ system and documentation have been drawn out in standardized formats. Measures to curb unfair and malpractices have also been listed along with the penalty and punishments.

#### **2) Definitions and Abbreviations**

**2.1) Academic Year** means a year commencing on such a date in July and ending on such a date in June of the following year as may be decided by the Academic Council. Academic Year may vary for the Faculties of the Annamalai University.

- 2.2) Admission to an Examination** means the issuance of admission card to a candidate, by the Controller of Examinations (COE), in token of his having completed all the conditions laid down in the relevant academic regulations, including tuition fees and examination fees.
- 2.3) Answer-booklet** means a stitched booklet of fixed pages issued by the University to the students in the examination hall to write answers to the questions listed in the question paper of a subject of Examination.
- 2.4) Answer Script** means the answer-booklet in which the examinee has attempted/ written his answers in response to the questions found in the question paper on the examination day. It shall only bear a dummy number at the time of evaluation and the identity of the examinee shall NOT be revealed.
- 2.5) Applicant** means a person who has submitted an application to the **Annamalai University** in the prescribed form for admission to an examination.
- 2.6) Arrear Candidate** is a student, who, having once been admitted to an examination of **Annamalai University** is again required to take the same examination by reason of his failure or absence in examination.
- 2.7) Attempt** means either partial or complete appearance by a candidate at an examination. Mere remittance of examination fees shall not amount to an attempt at an examination.
- 2.8) Board of Examiners** means a Board, approved by the Board of University Examinations, consisting of examiners from among the panel of Examiners prepared and submitted by the respective Board of Studies of each department of study.

- 2.9) Board of Studies** means the Board constituted in every Department of Teaching / Study and chaired by the Head of the Department with the responsibilities of formulating the academic regulations and curriculum for various Programmes offered by it. It shall also be responsible for enrolling the examiners from various institutes into the Panel of Examiners for each of the courses/ subjects.
- 2.10) Board of University Examinations** means the statutory body governing the Examinations and making policy decisions with regard to arrangement and conduct of examinations, improving the systems of examinations, appointing the Paper-setters, examiners, scrutinizers and also dealing with cases of malpractices/ lapses by University staff
- 2.11) Candidate** means a person, who has been admitted to an examination by the Annamalai University.
- 2.12) Candidates List** means the list of all eligible candidates registered for an examination which includes the name, register number and the subjects / courses which the candidate has registered to take the examination.
- 2.13) Central Valuation Centre** means a well secured premises with restricted entry where the evaluation of the theory answer scripts of the University examination is conducted.
- 2.14) Chairman of the Board of Examiners** means any Examiner appointed by the Board of University Examinations from among the panel of Examiners to act as the Chairman of the Board of Examiners.

- 2.15) Chief Superintendent** means any person appointed by the Controller of Examinations (COE) to be in overall control and supervision of the Examination Centre for a specified period / session(s) of the University examination.
- 2.16) Computer Centre** refers to an office furnished with computers established by the University to exclusively serve the examination related works in confidentiality.
- 2.17) Code of Conduct** means the set of norms to be followed in conducting oneself in the context of the functions / duties assigned to an individual.
- 2.18) Control Room** is the room which serves as the office for the Chief Superintendent(s) at the Examination Centre during the examination session.
- 2.19) Programme** encompasses a combination of courses and/or requirements leading to a degree / diploma. A Programme consists of several courses (subjects) that need to be studied by the candidate over the duration of the Programme.
- 2.20) Course** means a paper of any subject of study either in theory or practical during an academic period such as semester. A set of courses constitute a Programme.
- 2.21) Custodian** is the Chairman of the Board of Examiners who is in charge at the valuation centre and coordinates the process of valuation of answer papers allotted to the centre for a specified time period(s).
- 2.22) Deputy Custodian** means the teacher(s) of the Department of Teaching / Study appointed by the Chairman of the Board of Examiners to assist the Custodian in the coordination of valuation process.

- 2.23) Dummy Number** means the number printed on each answer-booklet after the examination in order to hide the identity of the examinee to prevent bias and malpractice in the evaluation.
- 2.24) Entire Examination** means the examination normally held at the end of an academic period such as a semester / academic year and includes all the courses(theory, practical and viva-voce examination if any). When used in the context of present examination, it is referred to as 'Current Examination'.
- 2.25) Examination Centre** refers to the premises consisting of examination halls, control room and service room with necessary facilities such as drinking water and toilets etc.
- 2.26) Examination Fee** means the fee for registering and securing admission to an examination. It is inclusive of the fee payable for the statements of marks as may be prescribed by the Annamalai University from time to time.
- 2.27) Examination Hall** is any Room, Laboratory, Workshop or any other premises used for conducting examinations of Annamalai University.
- 2.28) Examination Malpractices Enquiry Committee** means the committee constituted by the Board of University Examinations and approved by Syndicate for the purpose of conducting necessary enquiry on matters of the examinations related misconduct / malpractice.
- 2.29) Examinee** means a person who actually presents himself / herself for an examination or a part thereof to which he / she has been admitted.

- 2.30) Errant Examinee** means an examinee who has been caught in an act of misconduct / unfair-means / malpractice and booked in an examination.
- 2.31) Examiners** denotes teachers appointed by the COE from among the Board of Examiners approved by the Board of University Examinations for the evaluation of theory / practical papers / UG or PG dissertation etc.
- 2.32) Fine** means a sum of monetary penalty imposed on the candidate for valid reasons such as misconduct / malpractice or any other undue acts of omission by him / her.
- 2.33) Hall Superintendent** means any teaching faculty of the Departments of Teaching / Study appointed by the Controller of Examinations (COE) for invigilation work.
- 2.34) Hall Assistant** means a non-teaching staff member of appropriate rank to help in issuing the answer booklets and render other assistance to the Hall Superintendent during the conduct of examination in the assigned hall.
- 2.35) Internal Assessment** means the assessment based on mid-term tests and assignments given to the students during an academic period.
- 2.36) Late Fee** means a sum of money by cash or other valid bank instrument that may need to be paid to the University as a result of failure to meet the deadlines.
- 2.37) Malpractice** means any one or more of the acts prescribed as malpractice in examinations as elaborated in Section – 15.2.

- 2.38) Misconduct** means any one or more of the acts such as disobeying the instructions, insolent/ violent behaviour, and causing hindrance to the duties of the staff on examination duty etc. as elaborated in Section – 15.1.
- 2.39) Monetary Penalty Unit** means an arbitrary unit of fine or penalty with a base value equivalent to One Hundred Rupees (Rs. 100/-). This equivalence shall be periodically revised upward to reflect the inflation in order to serve as an effective deterrent.
- 2.40) Near-Relative** refers to the son, daughter, son-in-law, daughter-in-law, grandson, grand daughter, grand son-in-law, granddaughter-in-law, sister-in-law, brother-in-law, cousin, nephew, niece, brother, sister, uncle, aunt or such ones of the question paper setter as may be indicated by the Annamalai University.
- 2.41) Observer** refers to a person appointed by the Controller of Examinations to observe the examination centres during the prescribed session(s) of examination as an in-process validation measure and feedback to the COE in the form of an observation report.
- 2.42) Panel of Examiners** means the pool of all examiners from the University and other Institutions who are enrolled by the Board of Studies after the due process.
- 2.43) Paper of Examination** means the particular course of a Programme for which examination is being held on that day.
- 2.44) Paper setter** is a person appointed by the Controller of Examinations from among the Board of Examiners or from among the Panel of Examiners in cases of any exigency with the approval of Vice Chancellor of Annamalai University.

- 2.45) Photocopy of answer paper** denotes a reprographic reproduction of the Answer Script submitted by the candidate in an examination.
- 2.46) Re-totaling** means request of the candidate for verification of his / her answer paper(s) after announcement of the result for any error in arriving at the total marks or possibility of any unvalued answer(s).
- 2.47) Re-evaluation** means a fresh evaluation of the Answer Script by a different examiner based on the submission of appropriate application with due fees thereof by the candidate, after announcement of the result and obtaining a photocopy of the Answer Script, when sufficient grounds exist for such a request.
- 2.48) Reviewers** are the examiners who have been appointed by the COE to review the papers valued by the examiners.
- 2.49) Scrutiny** means the process of validating the question papers set by paper setters for conformity with the pattern and academic regulations in force. Any errata, aberrations, formats, choice or deviation in format or pattern is subject to necessary corrections before printing.
- 2.50) Scrutinizer** means is a person appointed by the COE to scrutinize the question papers received from the paper setters to detect any deviation, provide remedy and validate it before it is taken up for the printing process.

**2.51) Semester** means the duration of an academic period normally consisting of not less than 90 working days and applies to all programs of study which are conducted in the semester system. There shall be two semesters in an academic year.

**2.52) Service Room** is the room in close proximity with the Control room and that serves as work space for the staff on examination duty. It is also used to keep all the examination related stationery.

**2.53) Session Report** means the report, in Form-X520 prepared by the Chief Superintendent(s) of the Examination Centre for that session regarding the number of candidates present / absent, stock report of answer-booklets, malpractice / misconduct if any, attendance record of HS and other examination staff on duty and such related matters with necessary enclosures.

**2.54) Student** is a person who is enrolled as such by the University / Department, to pursue education, receive instructions, write examination(s) and qualify for any degree, diploma or certificate awarded by the Annamalai University.

**2.55) Unfair means** any one or more of the acts that are normally considered “not fair” such as copying, impersonation, etc., in examinations as elaborated elsewhere in this ordinance / manual.

**2.56) Abbreviations**

<b>BOS</b>	Board of Studies
<b>BOE</b>	Board of Examiners
<b>BUE</b>	Board of University Examinations
<b>ICC</b>	Instructions and Code of Conduct

<b>COE</b>	Controller of Examinations
<b>CS</b>	Chief Superintendent
<b>CVC</b>	Central Valuation Centre
<b>DA</b>	Daily Allowance
<b>DCOE</b>	Deputy Controller of Examinations
<b>EIVC</b>	Examination Integrity Violations Enquiry Committee
<b>EMEC</b>	Examination Malpractices Enquiry Committee
<b>HS</b>	Hall Superintendent
<b>IAM</b>	Internal Assessment Marks
<b>MPU</b>	Monetary Penalty Units
<b>NBA</b>	National Board of Accreditation
<b>PG</b>	Post Graduate
<b>POE</b>	Panel of Examiners
<b>TA</b>	Travelling Allowance
<b>TANSCH</b>	Tamil Nadu State Council for Higher Education
<b>UG</b>	Under Graduate
<b>VC</b>	Vice-Chancellor
<b>UGC</b>	University Grants Commission

**3) Board of University Examinations**

3.1) The Board of University Examinations (BUE) shall be the statutory body for governing the Examinations and making policy decisions with regard to organizing and holding of examinations, improving the examination system, approving the Paper-setters, Scrutinizers, Examiners etc. The Vice-Chancellor shall be the Chairman of the Board of University Examinations. The Board shall be constituted as per the provisions of this ordinance with the following members:

- 3.1.1. The Deans of all the Faculties
- 3.1.2. Controller of Examinations (Member-Secretary / Convener)

- 3.2) The BUE oversees and regulates the conduct of examinations in the university departments and Directorate of Distance Education. It deals with all the matters pertaining to Examinations. The BUE shall hear and redress with regard to any matter arising out of the conduct of examinations. It also deals with the prescription of the fees and the preparation of financial estimate for the office of the COE so as to be incorporated in the budget of the University.
- 3.3) The BUE shall also periodically evaluate the Examination system and make policy decisions to improve the efficiency / integrity / reliability of the examination system. The BUE shall meet at least ONCE in each academic term / semester.
- 3.4) The BUE shall approve the Board of Examiners for each Programme from the Panel of Examiners. No member of the BUE or the committees shall be appointed as paper-setter, examiner, moderator or referee.
- 3.5) The BUE may appoint / form sub-committee(s) for managing or facilitating specific tasks / issues at it considers necessary, such as Doctoral Research Reports Review Committee, Equivalence of Examinations Committee, etc.
- 3.6) The BUE shall take cognizance of any cases of Lapses / Malpractices / Misconduct by the staff connected with examination duty and shall recommend disciplinary action against the erring staff after the due enquiry process by an appointed committee.

- 3.7) In case of any emergency that requires immediate action, the Chairman of the BUE (VC) or the COE duly authorised by him, shall take such action as he/she thinks fit and necessary, and shall report the same in the next meeting of the Board.
- 3.8) The BUE shall NOT have any say in the academic issues / aspects regarding the examinations which shall be under the purview of Academic Council through various Academic Regulations.
- 3.9) All major issues and policy decisions made by the Board of University Examinations (BUE) shall be subject to the approval of the Syndicate.

**4) Works to be attended to by the Office of the Controller of Examinations**

The following works shall be attended to by the Office of the Controller of Examinations and, if necessary, an external agency may be appointed after due selection process with the approval of the BUE to assist the University.

- 4.1) Issue of calendar of events and schedule of examinations, notification of examination fees, inviting applications from the candidates for admission into University examination, inviting application for Convocation and such other related work.
- 4.2) Preparation and publication of detailed Time Tables in time.
- 4.3) Setting up centres of examinations for theory and practical examinations.
- 4.4) Scrutiny of examination application forms submitted by candidates at least 30 days before the commencement of Practical / Theory examinations.

- 4.5) Allotment of Register Numbers to the applicants and the preparation of statement of the amount of fees paid, date of payment, whether paid in full to cover the course (subject / subjects) offered including the carry-over subjects.
- 4.6) Preparing the list of candidates and issue of the same to the centres of examinations, and posting on the University website.
- 4.7) Preparation of the subject-wise, paper-wise and date-wise statements to print question papers with code numbers and arrange to issue them to the notified centre of examinations. Question Papers to be printed shall be 10% in excess of what is actually required in each course (subject).
- 4.8) The question paper packets shall indicate the Programme, course, semester, date of examination, code and name of examination centre, time of examination, number of question papers in each packet, etc.
- 4.9) Maintenance of all records, statistics, stock registers, and database of candidates pertinent to examinations.
- 4.10) Processing and passing of Bills of remuneration of TA, DA, other Conveyance / Allowance, and Maintenance of correspondence thereof.
- 4.11) Registration, distribution and dispatching of day to day communications / letters.
- 4.12) Appointment of Chief Superintendents and Hall Superintendents for each session of the examinations at each of the examination centres, and the issue of instructions regarding the conduct of examinations.
- 4.13) Appointment of officials and other staff required for the conduct of examination.

- 4.14) Issue of permission letters to blind and other physically challenged candidates.
- 4.15) Arrangements for the work for dispatching of all examination material to examination centres, valuation centres, etc.
- 4.16) Facilitate the constitution of Board of University Examinations and appointment of Board of Examiners.
- 4.17) Announcement of selection and issue of appointment orders to the Chairperson, members and internal and external examiners, paper setters etc.,
- 4.18) Arrangement for the conduct of examinations, collection of answer papers, conduct of valuation, collection of OMR Mark sheets, processing, and declaration of results.
- 4.19) Preservation of valued answer scripts at least for six months after the announcement of results.
- 4.20) Arrangement for preparation and distribution of marks cards, correction of mistakes in marks cards, and other certificates to the candidates.
- 4.21) Collection and maintenance of statistical data regarding the number of examinations, number of candidates registered for each examination, the number of boys, girls, regular candidates and repeaters, percentage of passes, receipts and expenditure on each category of examination, etc.
- 4.22) Preparation of merit lists and their transmission to appropriate authorities/bodies.
- 4.23) Collection of work done statements from the Chairmen, Paper setters and Examiners / Custodians and forwarding them to the Finance Section for payment of remuneration.

- 4.24) Preparation of the lists of lapses and irregularities committed by the evaluators and others and forwarding the list to the competent authorities for consideration and necessary action.
- 4.25) Arrangement for photo-copy / re-totaling / re-evaluation of valued answer-booklets on request from the candidates in prescribed application form with due fees, prescribed by the BUE.
- 4.26) Printing of various kinds of OMR forms, Forms, Answer Booklets, Registers, Marks Cards, Candidate Lists, Degree Certificates, etc.
- 4.27) Inviting of tenders / quotations for printing and supply of all types of Examination related material / stationery.
- 4.28) Purchase, maintenance and issue of stationery articles for office use, to the examination centre and to the valuation centre.
- 4.29) Scrutiny and passing of the bills for printing, purchase of stationery, etc.
- 4.30) Sanctioning of contingent expenditure to departments / valuation centres to conduct theory and practical examinations.
- 4.31) Assisting the Vice Chancellor in the constitution of committees to deal with all types of cases of misconduct/malpractices, detected before, during, and after examinations.
- 4.32) Dealing with matters pertaining to the fixing of remuneration for the staff of section for miscellaneous works outside office hours, connected with the examination.
- 4.33) Dealing with matters of examination fees and refunds if any.

- 4.34) Passing of conveyance bills, postal reimbursement bills and such other remuneration matters.
- 4.35) Announcement of results of examinations, dealing with the cases of withheld results for future announcement and follow up work in cases of any discrepancies.
- 4.36) Issue of migration certificates, duplicate mark cards / duplicate degree certificates, consolidated mark cards, provisional degree certificates, rank certificates, corrected certificates, etc.
- 4.37) Preparation of Merit scholarship lists in collaboration with the various Departments of Teaching/ Study and Faculties of the University.
- 4.38) Works related to Convocation as listed below:
  - 4.38.1) Inviting applications for the award of Degrees.
  - 4.38.2) Preparation of eligibility lists for convocation, faculty wise and year wise.
  - 4.38.3) Receipt and scrutiny of applications for conferring degree in person and *in absentia* at the Convocation.
  - 4.38.4) Preparation of Presentation lists (faculty wise and year wise) for *in person* and *in absentia* categories separately.
  - 4.38.5) Preparation of lists of Prize winners, and medal winners.
  - 4.38.6) Printing the lists of students attending the convocation and preserving the bound volume of such list.
  - 4.38.7) Writing / printing of degree certificates / rank certificates / prize or medal certificates, Ph.D. certificates, etc.

- 4.38.8) Intimating the candidates about the date and venue of convocation.
- 4.38.9) Distribution of admission cards and parent passes to candidates for the convocation.
- 4.38.10) Distribution of Degree Certificates.
- 4.38.11) Seating arrangement in the convocation hall.
- 4.39) To attend legal matters relating to examination, if any.

**5) Powers and Functions of the Controller of Examinations (COE)**

- 5.1) The Controller of Examinations shall be the principal officer-in-charge of the conduct of examinations and tests of the University and declaration of the results. He shall be a full-time salaried officer of the university and shall work directly under the directions and control of the Vice-Chancellor.
- 5.2) He / She shall be responsible for all the work that has to be attended to by the office of the Controller of Examinations as listed in Section-4 above.
- 5.3) He / She shall be responsible for maintenance of records, mark lists, and valued answer scripts. The valued answer scripts shall be preserved for six months after the announcement of results. He shall also be responsible for safe disposal/destruction of the answer scripts thereafter through tenders except the scripts regarding which court cases are pending.
- 5.4) He / She shall prepare the budget estimates for his / her section and draw the sanctioned amount for his / her office expenses.

- 5.5) He / She shall sanction the contingent expenditure to the centre(s) of examination / Departments of Teaching / Study in accordance with the rate sanctioned by the Syndicate with the approval of the Vice-Chancellor.
- 5.6) He / She shall arrange to fix the rate of remuneration payable to the persons other than the staff drafted for various works connected with the examinations as approved by the BUE and the Syndicate.
- 5.7) He / She shall draw up and notify a Calendar of Events for various examinations in the beginning of each academic year. It is incumbent on the part of the Controller of Examinations to ensure adherence to the Calendar of events
- 5.8) He / She shall arrange for the tabulation and announcement of results expeditiously and arrange for the distribution of Marks statements and Certificates to the department.
- 5.9) He/She shall arrange to prepare the eligibility list of candidates and presentation lists for convocation and arrange to write / print the distribution of the Degree Certificates to be conferred at the convocation.
- 5.10) He / She shall arrange to prepare the merit lists, rank lists, the lists of prize winners and medal winners.
- 5.11) He/She shall be responsible for the proper custody and maintenance of marks registers and other valuable and permanent records of the section.
- 5.12) He / She shall pass the DA and TA bills and other remuneration bills of the staff drafted for the examination work subject to rules.

- 5.13) He / She shall arrange for the photocopy of valued answer scripts, re-totaling in case of any reported totaling mistakes, re-valuation, redress the grievances of students.
- 5.14) He / She shall arrange to make enquiries into all types of malpractices committed during examination, valuation, revaluation and process of results etc. through appropriate committees.
- 5.15) He / She shall take disciplinary action wherever necessary against the candidates, paper setters, examiners, scrutinizers, or any other persons found guilty of malpractices during the examinations.
- 5.16) He / She shall keep a record of those persons who have committed lapses in discharging the examination related responsibilities entrusted to them and refer them to the Board of University Examinations for appropriate action.
- 5.17) He / She shall arrange for printing of question papers and supply them to the centre of examinations in accordance with the scheme laid down by the Board of University Examinations.
- 5.18) He / She shall issue mark statements, duplicate marks statement, consolidated marks statement, Transcripts, rank certificates, duplicate Degree Certificates, genuineness verification certificates.
- 5.19) He / She shall prepare the Degree certificates.
- 5.20) He / She may make any structural changes in the examination administration as and when required.
- 5.21) He / She shall exercise all these powers subject to the general control and supervision of the Vice-Chancellor.

**6) Duties and responsibilities of the Joint (JCOE)/Deputy COE (DCOE)**

- 6.1) There may be one or more Joint / Deputy Controller(s) to work directly under the Controller of Examinations. Subject to the general control and supervision of the COE, the Joint / Deputy COE shall have the powers and functions, duties and responsibilities prescribed in 6.2 to 6.17 below.
- 6.2) He / She shall assist the COE on printing and supply of various forms, registers, mark cards, etc., required for the office work and the centres of examination.
- 6.3) He / She shall assist the COE on printing and supply of the Answer Booklets, and other stationery required by the centres of examination.
- 6.4) He / She shall assist the COE in purchase / procurement of the required stationery for the use of office and centres of examination as per rules, maintain the stock-account and supply them to the required locations.
- 6.5) He / She shall assist the COE in passing the bills of printing and stationery for payment. He/ She shall also countersign and pass the bills of proof reading of question papers, postal reimbursement charges.
- 6.6) He / She shall assist the COE in the fixation of fees for various examinations with the approval of the BUE and sanction of the Syndicate.
- 6.7) He / She shall assist the COE in the arrangements for the proper distribution and disposal of day-to-day matters / issues in the Section.

- 6.8) He / She shall assist the COE in issue of migration certificate, provisional Degree certificate, marks statement, duplicate marks statement, consolidated marks statement, Transcripts, rank certificates, duplicate Degree Certificates etc.
- 6.9) He / She shall assist the COE in preparation of data / statistics relating to the number of candidates registered for the examinations, passed in various examination subject-wise, Programme-wise, etc. through the tabulators. The statistics required by the UGC, NBA, TANSCHÉ, Govt. of India, Govt. of Tamil Nadu, Director of Collegiate Education and such other authorities shall be prepared and furnished.
- 6.10) He / She shall assist the COE in convening the meetings of malpractice enquiry committee constituted for the purpose. He / She shall be the custodian of all the records connected with the malpractice committee by the students during examinations and shall place the relevant records before the enquiry committee.
- 6.11) He / She shall attend to tabulation and other post-examination works under the instructions of the COE and take necessary action for the announcement of results on time.
- 6.12) He / She shall personally attend to the re-totalling of valued scripts, and in case of re-totalling mistake reported by the candidate, evaluation and redressal of grievances shall be made by him under the instructions from the COE.
- 6.13) He / She shall attend to all types of work connected with the convocation under the instructions by the COE

- 6.14) He / She shall assist the COE in placing before the Board of University Examinations the Panel of Examiners suggested by the Boards of Studies for final approval.
- 6.15) He / She shall prepare and supply relevant information or instructions for the guidance and benefit of several Officers / officials entrusted with any kind of examination work / assignment. These instructions should be sent along with the letters of respective appointments.
- 6.16) He / She shall prepare a list of defaulting subordinate staff who have failed to check the files within the stipulated period and submit the same to the COE for appropriate action
- 6.17) He / She shall in addition to the above duties do any other duty entrusted to him by the COE, the Vice-Chancellor, or the Syndicate and carry out the above duties seeking orders directly from the authorities or officers concerned.

**7) Board of Examiners**

**7.1) Appointment, duties and responsibilities of the Chairman of the Board of Examiners**

7.1.1) The Chairman of the Board of Examiners shall be appointed by the Board of University Examinations for each Programme from among the internal examiners listed in the Panel of Internal Examiners by the COE provided such persons satisfy the following conditions:

- ❖ He / she shall be Head of the University Department or Professor or Head of the Section concerned.

- ❖ He/ she should have put in at least 15 years of fulltime teaching experience or as decided by the University from time to time.
  - ❖ He / she shall preserve strict confidentiality regarding the work allotted to him / her and shall not violate the integrity of the examination system.
- 7.1.2) The Chairman of the Board of Examiners has to prepare the list of question papers, with title and code, to be set Programme-wise, Semester-wise, course-wise (Scheme / Regulations -wise).
- 7.1.3) After the preparation of the list of question papers to be set, the same has to be forwarded to the COE with the Syllabus of the course, Question paper pattern/ Model Question paper, and if possible previous Question paper.
- 7.1.4) The Chairman of the Board shall ensure that the meetings of the Board of Examiners shall be conducted only in the University premises.
- 7.1.5) He/she shall also maintain the minutes of the meetings of the Board of examiners and send copies of these minutes to the COE.
- 7.1.6) The Chairman shall arrange with the approval of the COE, for the conduct of practical / clinical / projects examinations preferably prior to the commencement of theory examinations or later as the case may be.

- 7.1.7) He / She shall verify and confirm the required number of examiners and ensure that the valuation work is completed within a week / 10 days in coordination and cooperation of the custodian.
- 7.1.8) No person shall be a Chairman of a Board of Examinations for more than one term of three years continuously.
- 7.2) **Panel of Examiners**
- 7.2.1) Panel of Examiners shall be enrolled for each course of study with the approval of Board of Studies of each Department.
- 7.2.2) The Chairman of the Board of Studies shall call for a list of all eligible examiners from various Colleges / Institutions / University departments every three years in the prescribed form (Form-X600) which shall be duly forwarded by the respective head of the institution.
- 7.2.3) All such eligible list of examiners shall be placed in the respective Board of Studies for enrolment of the eligible examiners into the Panel of Examiners as per the University norms after due approval.
- 7.3) The Board of Examiners shall be constituted from among the panel of Examiners prepared and submitted by the Board of Studies of the respective Department for each Programme offered in the Department of Study.
- 7.4) The Board of Examiners shall be appointed by the BUE from the panel of examiners listed by the BOS and shall continue to function for three academic years. A new

Board of Examiners shall be constituted for the subsequent period. Except in the case of non-availability of eligible examiners, no person shall be reappointed as examiner in the same board for the same Programme.

- 7.5) It shall be the duty of the Heads of the Departments to prepare seniority-wise detailed panels of examiners and place the same before the respective Boards of Studies for approval. The Chairperson shall extend all cooperation in preparing the list of examiners. Only names of such teachers who have a minimum of 5 years of full time teaching experience shall be included in the panel.
- 7.6) The Question Paper setter must also be a member of the Boards of Examiners. Whenever assigned, it shall be the duty of the member of the Board of Examiners to scrutinize and approve sets of question papers, with necessary translation wherever necessary, and submit the same to the confidential section of the Office of the COE.
- 7.7) The Board of Examiners shall scrutinize the tabulated marks of the examination before publication of the results objectively and recommend for the award of grace marks or apply general moderation as per the norms provided in the regulations.

**8) Question Papers**

- 8.1 All arrangements shall be made to get the required sets of question papers for each paper of examination sufficiently in advance to the commencement of the examination period.

- 8.2 The question paper(s) shall meet the specifications / pattern as per the academic regulations of each Programme of study in the University. Question papers for each course shall be available in multiple sets to meet any eventuality.
- 8.3 The question paper-setters shall be communicated regarding their appointment together with the necessary instructions, syllabus, model question papers, question paper pattern, forms of acceptance, inner cover and outer cloth cover, remuneration forms, other related stationery, etc.
- 8.4 Whenever a paper setter declines the offer, alternative arrangements shall be made expeditiously to get the paper set by a suitable alternative paper-setter.
- 8.5 **Appointment of Question Paper Setters / Scrutinizers**
- 8.5.1 No one can claim appointment as paper setter/scrutinizer or any other examination work as a matter of right. The COE shall finalize the question paper setters/scrutinizers from the BOE.
- 8.5.2 No person shall be appointed as a paper-setter for an examination if any of his/her near relatives is appearing for that examination.
- 8.5.3 The paper setters / scrutinizers are required to submit their intention of acceptance / decline of the offer in Form-X605.
- 8.5.4 The Internal paper setters / scrutinizers shall not decline the assignment of examination work except in extraordinary situations since examination duty is treated as an essential

mandatory work of the faculty members. The external paper setters / scrutinizers shall intimate their acceptance or otherwise as soon as they receive the communication from the University or within the prescribed time limit. The acceptance of the offer may also be informed by email to the COE specifying all the details as per Form-X605. If no communication is received within the prescribed time limit, it will be presumed that the assignment is not accepted by the paper setter / scrutinizer.

8.5.5 If by chance, a wrong course has been assigned to the paper-setter, he shall indicate the same and decline the offer. He shall not accept an offer that is not related to his course / expertise / knowledge domain.

8.5.6 The paper setters / scrutinizers / examiners shall follow all the regulations of the University from time to time in respect of setting of question papers, scheme of evaluation etc.

## 8.6 **Duties and Responsibilities of the Paper Setters**

8.6.1 The Paper setter shall set the papers only on the texts and courses of study prescribed, and ensure that no question on topics not included in the prescribed syllabus is set.

8.6.2 The Paper Setter shall take all the necessary precaution for the maintenance of confidentiality of his / her appointment and the question paper(s) submitted set by him / her.

- 8.6.3 The Paper setter shall set the number of sets of question papers as requested, as per the prescribed pattern containing questions covering a wide range of contents of the courses for which they are set, and send them all in sealed covers to the COE.
- 8.6.4 The Paper setter shall ensure that the question papers set carry the correct name of the Programme, title of the course and code of the paper, applicable Regulation(s). He / she shall also indicate the duration of the examination, the maximum marks allotted to each question of the paper, choice, and maximum marks of the full paper. If the question paper is common to one or more schemes / courses, it shall be clearly indicated.
- 8.6.5 The Paper setter shall provide necessary instructions for the guidance of candidates at the top of the question paper. Any Mathematical, Physical table, chart, data and handbook permitted to be used in the examination hall should also be clearly indicated.
- 8.6.6 The question paper should be fairly distributed over the whole syllabus of study and not concentrated on any one or a few units / portions only. The question paper should test the understanding of the concepts, analytical thinking and problem solving ability of examinees.

- 8.6.7 The question paper setter shall indicate the permissible use of mathematical, Physical tables, Charts, data or hand books, gazettes etc. which are permitted to be used by the examinee in the INSTRUCTIONS. He /she shall affix his / her signature on each page of the question paper without fail.
- 8.6.8 If there are sections which need to be answered in different answer-booklets, the paper setter shall provide clear instructions for the same. The number of questions to be answered in each section shall also be indicated clearly. All questions and subdivisions shall be marked clearly as per the pattern provided.
- 8.6.9 The Paper setter shall write the questions legibly in Ink or type personally, avoiding additions, alterations and erasures. Abbreviations are to be avoided. Special care shall be taken in the delineation of mathematical signs of index figures. He / she should workout the numerical problems before including them in the question papers.
- 8.6.10 The paper setters shall write the questions in the blank booklets specifically supplied for the purpose by the University or on / A4 papers. The questions should be written clearly and legibly. Sufficient space should be provided between two questions.

- 8.6.11 The Paper setters shall observe strict secrecy regarding the work allotted to them. The Paper setter is not permitted to keep carbon copies of hand written question paper. Drafts or copies of the paper set should be destroyed as soon as the papers set have been sent to the COE.
- 8.6.12 The paper setter shall not delegate the task of setting the question paper partially or entirely to anyone else.
- 8.6.13 The paper setter shall submit the Scheme of valuation whenever demanded in the same envelope.
- 8.6.14 The question paper and scheme of valuation, if any, shall be enclosed in the labelled inner cover, sealed and included along with other information/ forms and claim bills in an outer cover.
- 8.6.15 The check list shall be marked to ensure that all required documents/ components have been included in the cover.
- 8.6.16 The Paper setter must carefully paste the inner cover provided by the University and affix his/ her signature on the joints of the cover and fix a cellophane tape on the signatures. The Paper setter shall fill in all the details required on the inner cover. This inner cover shall then be enclosed in a cloth-lined outer envelope marked “CONFIDENTIAL” and sent through Speed Post / Registered post to the Controller of Examinations, or delivered to the COE in person.

- 8.6.17 The paper setter shall also submit the remuneration and postal expenses claim bills in the outer cover / or separately with all the details to the COE.
- 8.6.18 The paper setter shall send the declaration and check list in Form-X602 along with the Question papers set.

**8.7 Handling Question Papers Received from Paper Setters**

- 8.7.1 The question paper(s) received from the respective paper setter is processed and stored securely maintaining full confidentiality warranted of an examination system. An account keeping must be done in order to send reminders to the paper setters if question papers are not received within the stipulated time.
- 8.7.2 All the question papers received from the paper setters are subjected to scrutiny in order to validate its conformity with the pattern and academic regulations in force. Any errata or aberrations are subjected to necessary corrections.
- 8.7.3 The printing of the question papers shall be done in a classified zone with restricted entry. The printing process shall NOT leave any trail which may eventually result in the leakage of full or part of the question paper.
- 8.7.4 All the printed question papers shall be packed in cover and sealed securely for storage under the custody of the COE.

8.7.5 The sealed envelopes containing Question papers should be arranged examination-wise, and Paper-Code Number-wise and kept under strict secrecy and vigil. The almirah, in which these Question papers are kept, should be sealed every time it is opened.

8.7.6 Relevant sealed envelopes containing the Question-papers should be taken out of the confidential almirah strictly in accordance with the Examination Programme. Envelopes should be counted and an entry made in the Stock Register before the envelopes are carried to the Control Room of each of the Examination Centres.

### **8.8 Duties of Question Paper Scrutinizers**

8.8.1 Question paper scrutinizers are appointed from the current Board of Examiners as a validation process for the purpose of carefully examining the question papers for any aberration, error, spelling mistake, deviation from pattern, distribution of marks etc. or any other lapse and providing necessary corrections.

8.8.2 The Question paper scrutinizer shall be present at the scrutiny room at the office of the COE of the University on the assigned date and time to fulfil the given responsibility. He / she shall express his / her consent or otherwise to the COE as soon as such an appointment of duty is received as suggested in the communication.

**9) Registration of Candidates for University Examination**

**9.1 Call for Registration**

9.1.1 A notification regarding the time schedule for issue of exam application forms from the University to the Departments and deadlines for submission of application forms to the University shall also be notified.

9.1.2 Examination forms relevant to each Faculty shall be made available in sufficient quantities in each of the Departments of Teaching/ Study. Instructions to students for filling the examination forms shall be displayed on the examination notice-board of the Departments or a printout provided. The Examination fee details shall be provided in a structured manner for theory / practical / viva-voce / project-work etc.

9.1.3 Examination forms duly filled, verified and affixed with latest stamp sized photographs of the candidate should be collected by the Departments' office along with the examination fee receipt. The forms are to be arranged exam-wise / Programme / branch-wise / semester-wise / year-wise and submitted to the University by due date. Forms submitted after the due date shall be accepted only if due penalty / fine applicable for late submission has been paid along with the fees.

## **9.2 Scrutiny of Examination Applications**

- 9.2.1 All application forms received from the Candidates shall be subject to thorough scrutiny for the validity / correctness of details.
- 9.2.2 It should be verified that the candidates have paid the due fee and fine / late fee, if any, along with the application form and tally the same with the receipts in the University accounts.
- 9.2.3 All valid applications are processed further for data entry into the appropriate database systems at the examination computer centre. Such data entry shall also be cross-checked and validated.

## **9.3 Preparation of the list of Candidates**

- 9.3.1 A list of all eligible candidates for each examination shall be prepared after thorough scrutiny and accounting for attendance or other deficiencies.
- 9.3.2 The list shall be as per Form-X203 and contains the candidate's name, Register number and the Code numbers of the courses for which he/she has registered for appearing in the Examination.
- 9.3.3 The Programme-wise list of candidates shall be sent to the concerned Departments of Teaching / Study along with the printed Hall Tickets.

9.3.4 Programme-wise list shall also be made available at the Control Room of theory examinations centres for verification in certain exigencies / circumstances by the Chief Superintendent.

**10) Pre-Examination Work/ Activities**

**10.1 Hall Ticket**

10.1.1 The Hall Ticket shall be issued to all the eligible candidates admitted to the University examination after due application in the prescribed Form-X101. Any Candidate found ineligible due to valid reasons such as attendance deficiency etc. shall not be issued the Hall Ticket.

10.1.2 Hall Ticket shall contain information regarding the Name of the candidate, Register number, Photograph, Programme of Study, Semester / Year, Department and the Code numbers of the course(s) for which he / she has registered in the current examination.

10.1.3 The office of the COE shall send the Hall Tickets to the Departments concerned at least 3 days before the commencement of the examinations. The Department office shall distribute it after due verification to the student concerned with due acknowledgement by signature. If any discrepancy or error is found in the Hall Ticket, it should be communicated to the examination section concerned with the recommendation of the Head of the Department.

## **10.2 Schedule and Time Table of Examinations**

- 10.2.1 While scheduling examinations, all care should be taken to ensure that no overlap in the courses / papers of examination occurs for any regular or arrear candidate.
- 10.2.2 The Examination time-table shall be cross validated for any overlap and necessary amendments made.
- 10.2.3 The scheduling of all Practical Examination shall be provided by the Heads of the Departments concerned to the COE sufficiently in advance (at least 30 days) of the scheduled commencement of the examinations.
- 10.2.4 The Time-table of examinations shall be dispatched sufficiently in advance to the Departments for record and display on the Notice boards.
- 10.2.5 The Time tables shall also be posted on the University website at least 2 weeks before the commencement of the examinations.

## **10.3 Initial Preparations for the Theory Examination Period**

- 10.3.1 The number of Candidates, day-wise, and session-wise, shall be ascertained on the basis of the examination schedules, list of candidates registered and admitted for the University examination at the specified examination center.

- 10.3.2 On the basis of the number of candidates and the seating capacity of halls available, the number of examination halls required should be fixed and necessary steps taken to make arrangements for the conduct of examinations.
- 10.3.3 A Master table of examination duties for each Examination Center shall be prepared. Names of Chief Superintendents and Hall Superintendents for each session for the entire period of examination at the center shall be finalized and appointment orders to be issued.
- 10.3.4 The order of appointment of invigilators shall be issued and communicated to the invigilators.
- 10.3.5 A Control Room and a Services Room, accessible and at the same time secure (safe), shall be identified at the Examination centre for the entire period of examination.
- 10.3.6 Attendance sheets / register of candidates seated in each of the examination hall shall be prepared based on the Programme of study and Semester / Year of study.
- 10.3.7 Preparation of Answer-booklets Stock register at the examination centre which need to be updated after each session of examination based on Answer booklet Usage Form-X505.

- 10.3.8 Specific number of Answer-booklets shall be prepared hall-wise. The University date seal and Alphabet seal assigned for that examination session shall be affixed.
- 10.3.9 Attendance Sheets / Register(s) of candidates shall be prepared.
- 10.3.10 Seating Charts be prepared for each room in triplicate copies. One copy is displayed on the General Notice Board, one copy be pasted in the Examination Hall and one copy be kept in record.
- 10.3.11 It should be verified that sufficient quantum of Question Papers of each paper have been received in sealed envelopes. The sealed envelopes are arranged date-wise, hall-wise and paper-wise and kept inside a sealed almirah / safe / locker. A copy of the time table is kept in the almirah / safe with the envelopes of Question Papers. This should be available for ready reference every day. It should be seen every day before taking out the envelopes before the scheduled time of the examination.

#### **10.4 Appointment of Support Staff for Examination Centre**

The COE shall appoint a team of members from various cadres of staff in the Office of the COE to facilitate the conduct of day-to-day affairs in the conduct of examinations at the Centre. Such staff shall be responsible for all the activities outlined in Section – 14.

**10.5 Appointment, Duties and Responsibilities of the Observer**

- 10.5.1 Observers may be appointed by the COE from among the very senior faculty members of the University, on the orders of the Vice-Chancellor, to visit the centres of University examinations as an auditing effort.
- 10.5.2 The Observers are authorized to visit any centre of University examinations without prior intimation of their visit to the Chief Superintendent(s).
- 10.5.3 He / She shall remain in the examination centre for the entire duration of the examination and for all the sessions.
- 10.5.4 He / She shall assess if the University examinations are conducted as per the norms laid down by the University.
- 10.5.5 He / She shall check whether the Hall Superintendent / other staff on duty are following scrupulously the instructions given to them in the conduct of University examinations
- 10.5.6 He / She shall check the records of examination session and stock of examination stationery etc.
- 10.5.7 He / She shall check the students who try to resort to malpractices at the time of University examinations and report such cases to the University.
- 10.5.8 He / She shall check whether the bell timings are strictly followed.

- 10.5.9 He / She shall check that Malpractice of any nature is not being resorted to by any candidate or staff.
- 10.5.10 He / She shall ascertain that after completion of each session, the answer booklets / scripts and other relevant materials are packed, sealed, labeled and dispatched to the University, as per University guidelines.
- 10.5.11 He / She shall carry out any other activity as may be required, to assist the Chief Superintendent, in smooth conduct of the examination.
- 10.5.12 At the end of each examination / session, the Observers will submit their reports on their visits to the COE directly. He / she shall submit the completed remuneration bill to the University for Payment.
- 10.5.13 The Observer can make suggestions in the matter of proper conduct of examinations, if necessary.

**11) Duties and Responsibilities of On-Campus Chief Superintendents**

- 11.1 The COE shall appoint the Chief Superintendent(s) and communicate his / her appointment order (Form-X620) in sufficient advance of the commencement of examinations. Each Centre of examination shall have one or more Chief Superintendent(s) who shall not be less than the rank of Professor, based on the number of examinees and examination halls.

- 11.2 The Chief Superintendent (CS) who could not attend to the work assigned for certain genuine reasons, shall submit the appropriate form (Form-X 801) to the COE expressing the reasons and the details of alternative arrangement (Professor consenting to serve as Chief Superintendent) sufficiently in advance to the assigned time of duty.
- 11.3 The Chief Superintendent(s) shall be responsible for the proper and smooth conduct of examinations at his / her / their centre. He / She shall take all necessary action before, during and after the examination for the smooth conduct of examination and dispatch of answer-booklets promptly to the office of the COE.
- 11.4 The CS shall arrange to prepare a 'Session Report' of candidates present during the examination session at his / her centre in Form-X520 for each Programme of study and each subject of examination and forward the same to the COE. A record of the usage of Answer-booklet in an examination session shall also be prepared in Form-X505.
- 11.5 The CS shall ensure satisfactory seating of candidates taking the examination and resolve any contingency issues that may arise in seating arrangement. He / She shall ensure that all candidates are treated equally without any discrimination.
- 11.6 The CS shall depute the required number of Hall Superintendents, Hall Assistants to each examination hall. One HS shall be allotted for every 40 students or part thereof as far as possible.

- 11.7 The CS shall make sure that as far as possible, Hall Superintendents are allotted Halls at random and that no Hall Superintendents shall have prior information of the Hall to which he / she shall be posted.
- 11.8 The CS shall briefly address all the supervisory staff prior to the commencement of examination and remind them of their duties and responsibilities. He / She shall particularly impress upon them the need to prevent malpractices by scrupulous observation of rules. He / She shall also explain to the supervisory staff the procedure of reporting when a case of malpractice is detected.
- 11.9 The CS shall inform the Hall Superintendent and candidates personally that no additional Answer Booklet will be provided and the candidates have to write their answer only in the Answer Booklet supplied to them in the Examination by the University.
- 11.10 The CS shall not leave the Centre of Examinations during the period of examination without any prior permission from the COE. In case of emergency, he / she shall make arrangements for the proper conduct of examinations by entrusting the responsibility to an eligible member of faculty, and report the arrangements made to the COE and obtain approval, before leaving the centres of examination.

- 11.11 The CS shall ensure that the question paper packets for each hall is sealed and not tampered with before handing it to the Hall Superintendent prior to the Examination session not earlier than half an hour fixed for the commencement of the examination in that hall.
- 11.12 The CS shall arrange to collect back the undistributed question papers from the examination halls at the end of the examination session along with the Answer scripts.
- 11.13 The CS shall attempt to resolve any serious misprint, wrong code, mistranslation, omission, ambiguity, etc., noticed or reported to him in the question papers by referring to the original scripts of the respective question paper and shall not, on his own accord or at the instance of any other person, give any clarification, unless it is a clear case of apparent misprint. Serious disparity in the question paper shall be immediately reported to the COE by phone and the issue resolved according to his instructions.
- 11.14 The CS shall see that only candidates with valid Hall tickets issued by the University are allowed to take the examination. If a candidate has lost the Hall ticket, the Chief Superintendent shall arrange to issue ad hoc one-session conditional permission after verification of his/her Identity and credentials in the list of candidates in Form-X203 and getting an undertaking from the candidate in Form-X509.

- 11.15 When the course / paper is wrongly indicated in the hall ticket issued, the Chief Superintendent shall give the correct course / paper provisionally after an undertaking by the candidate in Form-X510. Such provisional permission is subject to the approval of the University. The student shall be made aware that in case the contention of the candidate is found to be not valid, his / her answer script may not be valued. All such cases of admissions are provisional till they are approved by the University.
- 11.16 The CS shall ensure that no candidate is admitted to the examination hall 30 minutes after the commencement of the examinations and no candidate is allowed to leave the examination hall within 30 minutes of the commencement of the examination. The Chief Superintendent shall arrange for the ringing of bells to mark the examination timings as per Section – 13 below.
- 11.17 The Chief Superintendent shall take action against an examinee indulging in malpractice or attempting to use unfair means as defined in Section-15.1 & 15.2 below, in the examination hall or within the premises of the examination centre. All malpractices shall be reported and shall be handled as per the guidelines given in the Examination Malpractice Handling guidelines provided in Section- 15.3 below.

- 11.18 All the Answer-booklets confiscated in malpractice cases during the examination session should be packed separately in one bundle and marked “**Malpractice Case**” on the label. Such answer-booklets shall NOT be mixed with the regular answer-booklets.
- 11.19 The CS shall sign all relevant records such as invigilators attendance sheet, answer booklet usage in the session, Programme & subject-wise attendance summary for a session, remuneration acknowledgement sheet etc., relevant to the examination session.
- 11.20 In case of any major law and order problem or in the event of any external factor causing a disturbance in the Examination centre, the Examinations Office should be notified immediately by the CS. It is essential that any incident or condition which could potentially cause disturbance or discomfort to students is reported.
- 11.21 The CS shall also verify and confirm the mode of dispatching answer bundles to the office of the COE. The Challan for transporting and deposit of the Answer scripts shall be prepared in Form-X540 for each session.
- 11.22 The Chief Superintendent(s) shall be entitled to remuneration and other allowance, if any, as per the rates of remuneration periodically fixed by the University.

- 11.23 The Chief Superintendent shall have the power to expel an examinee from examinations on subsequent examination days; on any of the following grounds:
- 11.23.1 That the examinee created a nuisance or serious disturbance at the examination centre.
- 11.23.2 That the examinee showed a seriously aggressive attitude towards an invigilator or a member of the staff entrusted with the examination work.
- 11.23.3 If necessary, the Superintendent may get security guard assistance. Where a candidate is sent out of the examination hall, the COE shall be informed immediately.

**12) Duties and Responsibilities of the Hall Superintendent (HS)**

- 12.1 The Hall Superintendents are appointed by the Controller of Examinations to perform invigilation work during the specified sessions of theory examinations conducted by the University.
- 12.2 The Hall Superintendent (HS) shall report to the Chief Superintendent (CS) at least 45 minutes before the commencement of the examination on the first day and 30 minutes before on successive days / sessions of examinations at the Control room. The HS should affix his signature in the duty attendance sheet of the session and wait for the allocation of the examination hall and issue of the question paper packet for the hall.

- 12.3 On allocation of the examination hall at the Control room, the HS shall go to the examination hall allotted at least 10 minutes before the commencement of the examination with relevant examination materials and ensure that no incriminating or any other materials are found in the hall.
- 12.4 The HS must remain in the examination hall for the entire period of examination and he / she is advised to keep constant vigil on the examinees in the hall.
- 12.5 The candidates shall be admitted into the examination hall 10 minutes before the commencement of the examination. The HS shall announce to the candidates to leave the books, papers and other reference materials etc., outside the examination hall.
- 12.6 The HS should read out the warning note: “You should follow the instructions printed on the hall ticket and on the facing and last sheet of the answer-booklet. You should search your pockets, desks and tables and handover to the Hall Superintendent any paper / book / notes / manuscripts / photocopies / electronic gadgets which you may find there and close surroundings, before receiving the question paper in hand”.
- 12.7 The HS shall ensure that any unnecessary material brought by the candidates are left outside the room at his /her own risk.

- 12.8 The HS should warn the candidates about the possession of Mobile phones, digital equipments and other electronic gadgets except a simple wrist watch. The candidates should be advised to submit the same to the HS if they have inadvertently brought to the examination hall.
- 12.9 If any student has not brought his / her hall ticket and Identity Card, the matter shall be brought to the notice of the CS for issuing provisional permission after the candidate gives due undertaking in Form-X509 (in exceptional circumstances after verifying the identity of the candidate and verification in the Candidate List).
- 12.10 The HS shall ensure that candidates are seated before the commencement of the examination. No candidate is allowed to enter the examination hall after the first 30 minutes for whatever reason.
- 12.11 The HS shall distribute the Answer Booklets ten minutes before the commencement of examination, only to those candidates, who are seated in the examination hall and are not to be placed on the vacant seat.
- 12.12 The HS shall distribute the question papers to the candidates seated in the examination hall only when the commencement bell of the examination is given (Section – 13.4.2).
- 12.13 When candidates seek clarification on question paper that cannot be dealt with by the Hall Superintendent(s) in the Examination Hall, the HS shall immediately notify the Chief Superintendent who will endeavor to obtain and

convey the necessary information to the student(s). If the matter cannot be resolved by the CS, the Examinations Office must be informed immediately to resolve the issue. The HS shall not advise on meaning or interpretation of questions on their own.

- 12.14 The HS shall affix his signature at the appropriate place on the first page of the Answer Booklet only after checking the identity of the candidate with photo on admit card and also ensuring that the Candidate has written the correct Register number, Programme, course of examination, date of examination etc. in relevant place of the First page of the Answer Booklet including proper shading of the OMR region with ink. He shall also secure the signature of the candidates in the attendance sheet(s) provided for the hall.
- 12.15 The HS shall mark the absentees only after the first 30 minutes of commencement of the examination. A consolidated statement of the number of candidates present, absent and the absentees register numbers shall be prepared in Form-X503.
- 12.16 The HS should NOT allow any candidate who arrives later than 30 minutes into the examination hall. No extra time shall be given at the end of the examination to account for the late arrival of those candidates permitted within the first 30 minutes.

- 12.17 The HS should NOT allow any candidate to leave examination hall for any purpose within the first half an hour of the commencement of the examination.
- 12.18 After half an hour of the commencement of the examination (the third bell), the spare Answer Booklets shall be returned to the Control Room through the Representative on his / her visit to the examination hall along with the Consolidated Attendance Statement for the Hall (Form-X503).
- 12.19 The HS shall NOT accept the Answer Booklet of any examinee without ensuring that, it bears his / her University Register number, other information asked on the title page of the Answer Booklets and that the blank pages in the Answer Booklet are crossed out by the examinee with pen.
- 12.20 The HS shall remain alert in the examination hall and shall attend to the requests of the candidates for supply of the graph sheets & other relevant material through the Hall Assistant.
- 12.21 All Hall Superintendents are expected to remain in the hall for the entire duration of the examination. In the eventuality that the HS must leave the room in order to clarify a question or other emergency, it shall be made sure that there is at least one HS present in the hall. Such absences must be kept to a minimum.
- 12.22 The candidate visiting the toilet should be properly escorted; however frequent visits to the toilet by the candidate should be discouraged. No

- student will be allowed to go to the toilet in the first half an hour and the last 30 minutes. Such short absences from the hall shall be recorded in Form-X506 and signed by the examinee.
- 12.23 Whenever the warning bell sounds every half an hour, the HS shall alert the examinees about the time remaining for the examination session.
- 12.24 Whenever a University appointed Observer makes a surprise visit, the HS shall ensure their identity and allow entry to the examination hall for surprise check.
- 12.25 The HS shall ensure that, there is no communication among the candidates in the examination hall. He / She shall not allow the candidate to use unfair means in the examination hall. Smoking, chewing tobacco / paan etc. is strictly prohibited in the examination hall while the examination is in progress.
- 12.26 The HS should report to the Centre Superintendent the cases of insolent, indecent, undisciplined and undignified behaviour of candidates. The Centre Superintendent should act as per the prescribed procedure and take appropriate action under the relevant rules in *Section – 15.3*.
- 12.27 While making rounds of the examination hall, if the HS notices that any candidate is indulging in copying or possessing incriminating materials / bits of written papers or Answer Booklet other than that of the candidate, any written material on calculator / geometry box / scale, he /

she shall immediately take in his / her possession the candidate's Answer Booklet, question paper, and the materials which he / she has used or intended to use for copying and immediately report to the Chief Superintendent. He / She should not allow the candidate to leave the examination hall till the Chief Superintendent comes to the examination hall and takes over charge. The candidate should be handled as per *Section – 15.3*.

12.28 The HS should not tamper with the Answer Booklets issued to the candidates for any reason whatsoever. Malpractices are recorded in the appropriate form (Form-X530) along with a statement from the candidate (Form-X531) in the presence of the Chief Superintendent.

12.29 The Hall Superintendent shall arrange the written Answer Booklets returned by the candidates at the end of the examination in proper order for each course and Programme and tally the same with the attendance of the candidates. He / she shall be responsible for the safe possession of all Answer Booklets until it is handed over to the Answer-booklets receiving staff in the Control Room. The receiving staff shall receive the Answer-booklets after due verification and tally with the attendance.

- 12.30 The HS shall not leave the Examination Centre premises until he / she personally hands over the Answer Booklets and return the examination relevant materials at the Control Room to the designated staff of the examination session.
- 12.31 In the event of an emergency alert, all candidates should be instructed to stop writing, leave all papers, answer books and bags and silently leave the room. It should be made clear to students that examination conditions will continue until they are told otherwise.
- 12.32 When any candidate feels extremely sick / distressed, the HS may request the Chief Superintendent to make arrangements to escort the sick candidate to the University Hospital with necessary transport arrangement with the help of the supporting staff in the control room.
- 12.33 Answer Booklets Confiscated due to unfair and malpractice of the candidates shall be handed over separately without mixing them with the regular answer booklets.
- 12.34 The HS shall approach the Chief Superintendent to affix his / her signature on remuneration acknowledgement sheet in duplicate after handing all the answer booklets and other relevant materials such as excess question papers etc. The HS can then leave the examination centre premises having completed the duty for that session.

12.35 Any dereliction of duty on the part of the HS is recorded and the CS shall initiate necessary action as per the provisions of the examination regulations and report the same to the COE immediately.

**13) Examination Session Timings and Bell Alerts**

13.1 Unless otherwise notified, the forenoon session of theory examination shall be between 9:30 AM to 12:30 PM for all on-campus examinations.

13.2 Unless otherwise notified, the afternoon session of theory examination shall be between 2:00 PM to 5:00 PM for all on-campus examinations.

13.3 The schedules for practical examinations to be conducted in the specified laboratories of the departments shall be notified in the examination notice boards of the respective departments at least a week in advance.

13.4 In an examination session there will be a total of 9 Bell alerts. The scheme of ringing of the bell during the examination session and the operations linked with it are given below:

13.4.1 First Long Bell 10 minutes before the commencement of the Examination

❖ Candidates enter the examination hall and take their respective seats.

❖ Answer-booklets are distributed.

13.4.2 Second Long Bell at the Scheduled start-time of the examination of the session.

*Ordinances*

- ❖ Start of Examination.
  - ❖ Question papers are distributed.
  - ❖ No Candidate should be allowed to leave the examination hall until the next bell.
  - ❖ The HS shall check the identity and hall tickets, verify the First page entries of Answer-booklets and affix the signature on the Answer-booklet Front page at the appropriate place.
  - ❖ The HS shall mark the attendance in the attendance sheet/ register of the Hall.
- 13.4.3 Third Bell – One Stroke at the end of the first 30 minutes of examination.
- ❖ HS shall also make the consolidated attendance sheet of the Hall.
  - ❖ All the absentees should be marked “ABSENT” using RED ink pen in the attendance sheet / register.
  - ❖ No Candidate should be allowed to enter the examination hall.
- 13.4.4 Fourth Bell – Two Strokes at the end of 60 minutes of examination.
- 13.4.5 Fifth Bell – Three Strokes at the end of 90 minutes of examination.
- 13.4.6 Sixth Bell – Four Strokes at the end of 120 minutes of examination.

13.4.7 Seventh Bell – Five Strokes at the end of 150 minutes of examination.

13.4.8 Eighth Bell – One Short Stroke bell at the end of 170 minutes of examination.

- ❖ Warning 10 minutes before the end of the examination.

- ❖ Candidates should be alerted about the remaining time.

- ❖ Candidates are to be reminded to enter the total pages written and strike off the unwritten blank pages in the answer booklet.

13.4.9 Ninth Bell – One Long Bell at the end of 180 minutes of examination.

- ❖ End of the Examination.

- ❖ Answer papers are to be collected.

13.5 The ringing of bells will be according to the time indicated by the watch / clock in the Control / Service Room. Different watches may show different times but, for the purpose of the examination, the watch / clock of the Control / Service Room will be treated as authentic.

#### **14) Control Room & Service Room at the Examination Centre**

The control room and service room shall function as office at the Examination centre. The rooms shall be adjacent to each other and easily accessible from all the examination halls and at the same time secure and safe.

##### **14.1 Examinations Control Room / Service Staff**

During the periods of University examinations, staff of various ranks from the Office of Controller of Examinations shall be deputed to each Examination centre in sufficient numbers to attend to the duties related to the conduct of examinations for the entire duration of Examinations. They work from an

Examination Service Room adjacent to the Control Room at the Centre. The Hall Assistants may be drawn from the non-teaching staff of appropriate rank of various departments of the University.

**14.2 Summary of functions of the Control / Service Room for each day of examination:**

- 14.2.1 Seating Chart be exhibited on the Notice Board.
- 14.2.2 Instructions to candidates / examinees are exhibited on the Notice Board.
- 14.2.3 Candidates are assigned to Examination Halls.
- 14.2.4 Signature of Hall Superintendents who report on duty, be taken in the relevant Form-X501.
- 14.2.5 Outer Packet containing the Question paper packets for the session is open, 15 minutes before the commencement of the examination.
- 14.2.6 The Question Papers be taken out of the envelopes. The subject printed on the Question Paper should agree with the subject mentioned in the Time Table.
- 14.2.7 Materials are issued to the invigilators from the Control Room. Signatures are taken as an acknowledgement of their having received the materials.

- 14.2.8 The Control Room will collect the following items from the invigilators after half an hour of the commencement of the Examination:
- ❖ Attendance sheets of candidates. These should be signed by candidates as well as the Hall Superintendent.
  - ❖ Remaining Main Answer Books.
  - ❖ Remaining Question Papers.
- 14.2.9 A record of the usage of Answer-booklets shall be maintained for each session. Session-wise consumption of records shall be updated in the Answer-booklets Stock Register at the end of each session with signature of the person concerned.
- 14.2.10 Account of Question Papers is prepared. Entries are made in the concerned Stock Register. Envelopes are retained in safe custody.
- 14.2.11 Seating arrangement for the next day is prepared. Four copies of the seating map are prepared.
- 14.2.12 Packets of Main Answer Books, Supplementary Answer Books, and different proforma are to be kept ready for the next day.
- 14.2.13 The Superintendent should go rounds to ascertain the performance of duties by the invigilators.
- 14.2.14 Water should be served to candidates in the Examination Room.

- 14.2.15 After three hours, the Control Room should collect the Answer Books, check them, count them and send them to the University in sealed covers as per the prescribed instructions.
- 14.2.16 Session report in two copies should be prepared and signed for each session of Examination
- 14.2.17 Various examination related Forms filled and signed by invigilators, be placed immediately in the corresponding file covers.
- 14.2.18 Packet of Answer-booklets caught in Misconduct/ Malpractice/ Unfair-means is sent separately with the incriminating evidence along with the candidate's statement, HS report and CS report.
- 14.2.19 Perform any other relevant work/ activity that may be necessary.

### **14.3 Answer Booklets**

- 14.3.1 Answer Booklets shall in no case be stamped in larger quantity than required for each session/ day's use so that any misuse/ malpractice is prevented.
- 14.3.2 The details of University date seal and the alphabet stamp to be used on a particular session shall be maintained in total confidentiality.

- 14.3.3 Only one University date stamp and alphabet stamp shall be used on all the answer-booklets for a particular session of examination. Different alphabet stamp must be used on successive sessions of examination.
- 14.3.4 The Superintendent at the Service Room shall be updated after each session of examination based on the Answer booklet usage in Form-X505.
- 14.3.5 The Answer booklet stock register should be made available for Inspection by the Observer or Chief Superintendent or any other authority concerned with the Examinations.

#### **14.4 Hall Arrangements & Seating Arrangement in the Examination**

- 14.4.1 The Examination Hall(s) should have adequate light and ventilation. It should be clean and tidy. Sufficient furniture, *viz* desk, chairs, tables, benches should be provided to the candidates. It should be ensured that the atmosphere around the Examination Hall remains calm and quiet.

- 14.4.2 The COE shall prepare well in advance, the statement regarding seating arrangements for the candidates.
- 14.4.3 Each Candidate shall be allotted a definite seat for each paper of the examination. It is preferable to allot the same seat for a candidate for his entire examination. The seat allocation for arrear candidate may vary for each of the arrear paper due to logistics and administrative constraints.
- 14.4.4 Sufficient space is given between two examinees so that the neighbouring candidates may not peep into each others' Answer booklets. As far as possible, two adjacent candidates shall not be writing the same subject/ paper. If necessary, a candidate of a different subject or paper shall be seated between two candidates of the same paper.
- 14.4.5 Seating charts should be displayed prominently showing the position of candidates (according to their register number) in each room for each day accessible place for the examinees (inside/ outside the room) and copy of the same shall be retained for the sake of documentation and record keeping.

- 14.4.6 On the first day of Examination, the Examination Hall(s) should be opened half an hour before the commencement time in order to enable candidates locate their allotted seats. On the remaining days of the Examination, the rooms should be opened 15 minutes before the commencement of examination.
- 14.4.7 Special care may be taken in providing a seat to a candidate who suffers from any infectious disease so as not cause an adverse effect on the other candidates. Candidates who cannot climb staircase due to their physical condition shall be provided seats in a Hall in the Ground floor.

**14.5 Packing of Answer-booklets after the examination**

- 14.5.1 Immediately after every session, the answer scripts of each paper collected from candidates will be arranged in the serial order of Register Number and after counting them and checking the number of answer scripts with the number of candidates appeared, the same shall be packed in covers of suitable size. The answer scripts must be packed as below:
- 14.5.2 Answer Script of only one course and one examination must be packed in sealed packet(s). The Form-X521 printed on the cover is duly filled or it must be pasted on the packet.

*Ordinances*

- 14.5.3 Several such packets of answer scripts shall be bundled and wrapped in appropriate material (cloth/ paper) and label in Form-X523 pasted so as to secure the seal of the packet before transmission to the University. Answer scripts packing list in Form-X539 for each bundle/ bag/ box shall also be retained for record at the Control Room.
- 14.5.4 The answer scripts related to Malpractice/ Misconduct shall NOT be mixed or packed with the regular answer scripts. In each case of malpractice, the answer scripts shall be packed along with the confiscated incriminating material (duly signed by the examinee), report of the Hall Superintendent and statement of the errant examinee.
- 14.5.5 The consolidated report of the CS on all cases of reported malpractices / misconduct shall be placed in the outer cover which shall contain all individual covers of reported malpractice cases.

## **14.6 Documentation of Reports of the Examination Session**

The following records are consolidated, packed and sent to the Office of the COE after each session / day of the examination at the examination centre.

- 14.6.1 Attendance Statements of Candidates sorted Programme-wise / subject-wise, Record of temporary absence of Candidates from halls, Attendance statement of Superintendents and all Staff on Examination duty.
- 14.6.2 Attendance Summary Statement Programme-wise / course-wise should be prepared and sent to the Office of COE in Form-X504.
- 14.6.3 Answer booklets usage report, Session report of the Chief Superintendent(s)
- 14.6.4 Answer scripts packing list for each bundle / bag / box.
- 14.6.5 Stock Statement made based on the Stock Register of Answer-booklets at the Control / Service Room is completed. Remaining Answer- booklets are kept in safe custody with their account.
- 14.6.6 Record of the instances of Malpractice / Misconduct and the related materials such as Answer-scripts, incriminating materials and reports of HS & CS.
- 14.6.7 Challan for transport and depositing of the Answer scripts from the Examination Centre.

**14.7 Transportation of Answer-Scripts from Examination Centre to the Office of the COE**

- 14.7.1 All the Answer-scripts and Reports / Records of the examination held on the session / day shall be packed safely and dispatched to the Office of the COE in the University vehicle securely.
- 14.7.2 Record of Staff involved in such transportation/transfer activities shall be maintained with time, date and signatures in Form-X540 and submitted to COE on daily basis.
- 14.7.3 The person in-charge of the receipt and safe-keeping of answer scripts after the examination shall receive those bundles from examination centre(s), check for the integrity of the packing. He / She shall then verify and tally the packets with the Challan (Form-X540). He / She shall then arrange to keep them safely and securely till taken up for further processing.

**15) Misconduct and Malpractices in Examination by Candidates**

In the Examination Hall the candidate shall be under the disciplinary control of the Hall Superintendent and he/she shall obey the instructions of HS. No candidate shall use unfair-means or indulge in disorderly conduct or malpractice during, or in connection with the examinations.

### **15.1 Misconduct**

Any of the following acts indulged by a candidate in the examination hall will be considered as “misconduct” in the examination and he / she will be booked for the same:

- 15.1.1 Candidate blatantly disobeying the instructions of the Chief Superintendent (CS) / Hall Superintendent (HS) / Vigilance squad member or any other university appointed officials on examination duty.
- 15.1.2 Candidate exhibiting insolent / violent behaviour with the HS or other examination staff or other examinees. Unruly behavior in or near the examination hall.
- 15.1.3 Acts of threats, violence, creating disturbance inside / outside the examination hall, preventing other candidates from entering the hall, misbehaviour with the supervising staff etc.
- 15.1.4 Bringing dangerous weapons/articles into the examination centre / hall on any pretext.
- 15.1.5 Any act by the candidate that hinders the discharge of duty by staff on examination duty or the smooth conduct of the examination.
- 15.1.6 Tearing off or mutilating an answer booklet or any part thereof.
- 15.1.7 Talking with neighbours, showing signs or signals to others in the hall / verandah.

- 15.1.8 Writing the examination even after the final bell despite several calls to stop writing.
- 15.1.9 Causing damage to the belongings of Examiners, as an act of vengeance.
- 15.1.10 Arranging outside persons to terrorise the examination staff.
- 15.1.11 Causing damage to examination material/ records
- 15.1.12 Assaulting physically or attempting to attack any examination staff while being caught/booked for any malpractice.
- 15.1.13 Writing filthy / indecent / vulgar words or sketching obscene figures etc in the answer-booklet or black board or walls or furniture at the examination centre.
- 15.1.14 Tampering with the particulars, including register number, written on another candidate's answer-book and/or writing wrong particulars, including register number on one's own answer-booklet.
- 15.1.15 Refusing to be searched by the HS / CS / any other member of the Supervisory Staff, or obstructing or hindering such search in the Examination Hall, Verandah, etc.

## **15.2 Malpractices:**

A candidate indulging in any of the following acts in the examination hall will be considered as committing malpractice(s) in the examination and booked for the same:

- 15.2.1 Possession of printed / photocopy / manuscripts pertaining / not pertaining to the day's examination, or in the form of book, pages of a book or loose sheets, or any other matter not permissible to be brought into the Examination hall.
- 15.2.2 Possession of Tables, Hand books, Code books etc. which are not permitted for the day's examination.
- 15.2.3 Possession of Programmable Calculators, Mobile Phones, Smart watches/Bluetooth or Wi-Fi enabled devices, Pagers, Organizers, Digital memory pad etc. with/without matters related to the day's examination stored in them.
- 15.2.4 Possessing any other prohibited material that may be of help in writing answers or facilitate copying in the examination hall.
- 15.2.5 Writing any matter, formula, definition, sketches in any part of the candidate's body, dress, handkerchief, instrument box, calculator cover, wall, table, drawing board, Question paper, hall ticket etc. which may have relevance to the syllabus of the examination-paper concerned.
- 15.2.6 Exchanging of hall tickets, question papers, scales, calculator, instrument box etc. with any formula, answers, sketches, and hints related to the day's examination written on them with neighbouring candidates.

- 15.2.7 Showing the answer-booklet / question paper to other examinees or allowing them to copy.
- 15.2.8 Giving / Receiving the main answer-booklet or other information carrying material to / from other examinees for copying.
- 15.2.9 Copying from any printed or hand-written material or answer-booklet of another candidate.
- 15.2.10 Writing any appeal to the Examiner offering money or any irrelevant matter in the answer script, insertion of currency notes in answer script and giving contact address, telephone numbers etc.
- 15.2.11 Communicating or attempting to communicate, directly or through another person with an examiner or with an official of the University with the object of influencing him in the award of marks or making any approach or manipulation for that purpose.
- 15.2.12 Communicating or attempting to communicate with the staff of the University or any person connected with the conduct of examination or with any paper-setter, with the object of finding out the name and address of the paper setter or finding out the questions.

- 15.2.13 Making any request or representation or offering any threat or inducement to Supervisor / Hall Superintendent or / and any other official or officer of the University / College in the Examination Hall or to the Examiner in the answer script.
- 15.2.14 Approaching directly or indirectly the teachers, Officers or Examiners or exerting undue pressure or undue influence upon them for favour in the examination or valuation.
- 15.2.15 Writing the register number anywhere in the answer-booklet other than in the fly slip of the Front Page
- 15.2.16 Revealing identity in any form in the answer written or in any other part of the answer-booklet by the examinee at the University examination
- 15.2.17 Leaving blank pages in the Answer-booklet without cancelling / striking them with a pen.
- 15.2.18 Writing the examination without valid hall ticket or obtaining admission to the examination on a false representation.
- 15.2.19 Striking off all the pages including the correct answers written by him / her in the answer-booklet, when being caught for any act of malpractice.

- 15.2.20 Inserting pre-written additional sheet(s) having matters related to the course of the day's examination into the main answer-booklet.
- 15.2.21 Smuggling-in blank or written answer-booklet and forging signature of the Supervisor thereon
- 15.2.22 Replacing the answer-booklet supplied in the hall by pre-prepared answer-booklet brought by the candidate himself / herself or got from external sources.
- 15.2.23 Presenting to the examiner a practical or class-work-notebook which does not belong to him/ her.
- 15.2.24 Forging the signature of the teacher anywhere in the Practical Record book.
- 15.2.25 Altering the marks awarded for any exercise in the Practical Record book or boosting the total and average marks obtained in the Record book of Laboratory work.
- 15.2.26 Helping another candidate in answering any question orally or by transmission of material or information.
- 15.2.27 Giving or receiving assistance in answering the question papers to or from any other candidate / person in the examination hall or outside during the examination hours.
- 15.2.28 Unauthorized communication in any form with other examinees or anyone else inside or outside the examination hall.

- 15.2.29 Mutual/ Mass copying by candidates in the examination hall.
- 15.2.30 Impersonation - Arranging some other person to write the examination for the candidate (or) attempting to write the examination for somebody else.
- 15.2.31 Taking away with him / her the Answer script, without handing over the same to the Hall Superintendent or trying to take away or damage another candidate's answer-booklet / script.
- 15.2.32 Refusing to give written statement, refusing to receive show cause notice, abstention from enquiries, running away from examination hall when caught for any malpractice, trying to destroy the evidences by tearing / swallowing / erasing / throwing away the bits, materials etc.
- 15.2.33 Destroying or attempting to destroy a note or paper or any other material, or causing disappearance or destruction of any such material either by himself or with the assistance of any other person etc. during the examination hours.
- 15.2.34 Interfering with or counterfeiting of University / Institution seal, or answer-booklets or office stationery used in the examinations.
- 15.2.35 Making a false representation pertaining to the eligibility of the candidate to appear in the examination.

- 15.2.36 Committing any act(s) intending to gain an advantage or favour in the examination by misleading, deceiving or inducing the examiner or officers or authorities of the University / College.
- 15.2.37 Forging another person's signature in any of the examination documents.
- 15.2.38 Any other similar act(s) of commission and / or omission(s) which may be considered as Malpractice by the competent authority

### **15.3 Handling and Reporting of Misconducts and Malpractice**

The following shall be the procedure for dealing with the cases of candidates found using or suspected of using unfair-means or involved in malpractice or misconduct in connection with the examinations:

- 15.3.1 Where a candidate is suspected of using unfair means as defined above, the HS or the centre superintendent or any other member of the supervisory staff or observer shall search the candidate and / or his belongings. Where any written or printed materials are found in his / her possession as a consequence of the search, the matter is taken to the notice of the Chief Superintendent of Examination centre. The candidate's answer booklet shall be confiscated along with the material recovered.

- 15.3.2 The Chief Superintendent shall hold a preliminary enquiry, record the report of the Hall Superintendent, the statement of the candidate in the presence of a teacher other than the HS concerned. On sufficient grounds, the Chief Superintendent shall forthwith suspend the candidate from writing the examination and withdraw the admission ticket.
- 15.3.3 The Chief Superintendent shall thereafter obtain a statement / undertaking from the student in Form-X531. The HS shall provide his / her report in Form-X530. The CS shall countersign both the report and the statement. The candidate shall be made to affix his / her signature on the incriminating materials used in the malpractice. Answer scripts of all such cases are packed separately.
- 15.3.4 If the candidate refuses to give a statement, he / she should be asked to record in writing his/her refusal to give a statement. If he / she refuses to give a statement, the facts shall be noted duly witnessed by two members of the supervisory staff.

- 15.3.5 If the candidate refuses to hand over the incriminating material or destroys or runs away with the material (causes to disappear) the facts shall be noted duly witnessed by two members of the supervisory staff and the matter reported to the Chief Superintendent immediately.
- 15.3.6 In case of Misconduct/ insolent behaviour (i.e. verbal or nonverbal e.g. gestures), the Supervisor or the authorized person shall record the facts in writing and shall report the same to the Controller of Examinations.
- 15.3.7 The answer scripts, relevant question paper(s), statement of the errant-examinee and the incriminating materials confiscated shall be packed in a cover and labelled. This packet in turn shall be placed in an outer cover along with the HS Report(s) of all such cases along with the consolidated report of the CS on cases of malpractices for the session. It is reiterated that these Answer scripts should NOT be packed with the other Answer scripts. They should be placed in a separate packet and sealed. It is the responsibility of the Centre's Chief Superintendent to ensure that the malpractice related bundle is securely despatched to the COE with appropriate labelling.

- 15.3.8 A record of such malpractice shall be maintained at the examination centre in order to prevent such candidates from appearing in subsequent examinations.
- 15.3.9 The Office of the COE shall open only the outer cover containing the reports of HS / CS and the inner cover / packet containing the malpractice related answer scripts, statement of the errant-examinee and the incriminating materials confiscated shall not be opened. Based on the reports of HS / CS, the COE shall place such cases before the Examination Malpractices Enquiry Committee (EMEC) along with all the materials and records received by him / her.
- 15.3.10 Post-Examination, if the examiner at the time of assessment of answer-booklet(s) suspects that there is a *prime facie* evidence that the examinee(s) whose answer script(s) the examiner is assessing appears to have resorted to malpractice, he / she shall forthwith stop further evaluation and return the answer script with a report prepared by examiner under his / her name and signature to the Custodian in separate confidential sealed envelope marked as “Suspected Malpractice case”. The Custodian shall in turn hand it over to the Chairman, BOE who shall forward the same to the COE along with his/ her remarks and signature. If the suspicion arises or malpractice is

suspected after script is already valued, marks shall not be entered in the OMR Sheet or marks list along with other students but enter them in a separate list and hand over to the custodian who in turn shall forward the same to the COE in a sealed cover.

#### **15.4 Punishments for Malpractice**

A candidate found guilty of Misconduct / Malpractice at, or in connection with an examination, shall be subjected to due enquiry by the Examinations Malpractices Enquiry Committee (EMEC) appointed for the purpose. If the candidate is found guilty, he / she may be awarded one or more punishment(s) and / or monetary penalty based on the norms of punishments prescribed in this regulations and the Committee's assessment on the nature and severity of the malpractice. This may even be in addition to the punishment that may have been already awarded by the Chief Superintendent during the examination. The punishment(s) and / or monetary penalty shall be subject to review and / or moderation by the Vice-Chancellor.

#### **15.5 Examination Malpractices Enquiry Committee - Constitution, Powers and Functions**

15.5.1 The EMEC constituted by the University shall be the competent authority to enquire into the act of misconduct / malpractice and recommend appropriate disciplinary action against the students using, attempting to use, aiding, abetting, instigating or allowing unfair means at the examination conducted by the University.

15.5.2 The Examination Malpractices Enquiry Committee (EMEC) shall be appointed by the Vice-Chancellor on the recommendation of the Board of University Examinations.

**The Examination Malpractices Enquiry Committee (EMEC) for on-campus Programmes** shall consist of not more than five members, one of whom shall be the Head of the Department of Study to which the candidate belongs. The Chairman of the Committee shall be the Dean of the Faculty of the respective Department. There shall be one convener, who shall be an official of the University not below the rank of Deputy Controller of Examinations. The other two members shall be not less than the rank of Professor chosen from a panel recommended by the Board of University Examinations (BUE) for the purpose and approved by the Syndicate.

**The Examination Malpractices Enquiry Committee (EMEC) for off-campus Programmes** will have five Teams. Each team shall consist of not more than five members, one of whom shall be a Head of the Department of Study and the Chairman of the Committee shall be a Dean of Faculty. There shall be one convener, who shall be an official of the University not below the rank of Deputy Controller of Examinations. The other two members

shall be not less than the rank of Professor and chosen from a panel recommended by the BUE for the purpose and approved by the Syndicate.

15.5.3 The EMEC shall function as a recommendatory body and submit its recommendations in the form of a report to VC through COE. The Competent Authority (Vice-Chancellor and / or Syndicate) may impose a fine and / or punishment on the student / person who is declared guilty taking into account the recommendation of the Examination Malpractices Enquiry Committee (EMEC).

15.5.4 The EMEC shall have all the powers to issue notice, summon the candidate and witness, record their statements and recommend appropriate punishment / penalty as per the norms provided in the regulations.

15.5.5 A *prima facie* case of Misconduct / Malpractice in examinations reported to the University by the Chief Superintendent / or Examiners shall be enquired into by the EMEC.

15.5.6 The Dean of faculty / Head of the Department, as the case may be, shall be the competent authority to implement appropriate disciplinary action recommended against the candidate.

**15.6 The Protocol and Procedure for Enquiry of Errant Examinee / Candidate during Examinations:**

- 15.6.1 The Controller of Examinations of the University / Dean / Head of the Department, or the Officer authorized by them, as the case may be, shall inform the concerned examinee in writing of the act of malpractice alleged to have been committed by him / her, and shall ask him / her to show cause as to why the charge(s) leveled against him / her should not be held as proved and why the stipulated punishment should not be imposed.
- 15.6.2 The EMEC shall meet at the required place specified in the said notice for the purpose of holding the enquiry and the said candidate shall be allowed to be present, and heard in the same. The errant examinee may appear before the EMEC on a day, time and place fixed for the meeting, with written reply / explanation to the show cause notice served on him / her therein. The examinee himself / herself only shall present his / her case before the Committee and no other person shall be permitted to represent his case.
- 15.6.3 In no case the candidate shall be allowed to be represented by a lawyer or any other person. Also no adjournment of the hearing will be granted to the candidate unless deemed necessary by the committee.

- 15.6.4 After serving a show cause notice, if the implicated concerned examinee fails to appear before the Inquiry Committee on the day, time and place fixed for the meeting, the concerned examinee may be given one more opportunity to appear before the Committee in his / her defence. If even after offering two chances, the concerned examinee fails to appear before the Committee, the Committee shall take decision in his/her case in his / her absentia, on the basis of the available evidence / documents, which shall be binding on the examinee concerned.
- 15.6.5 The documents that are being taken into consideration or are to be relied upon for the purpose of proving charge(s) against the concerned examinee should be shown to him / her by the EMEC, if the concerned examinee presents himself / herself before the Committee.
- 15.6.6 The EMEC shall proceed to conduct a summary enquiry by providing a fair and reasonable opportunity to the student. On conclusion of the enquiry the committee shall record its findings about the commission of guilt by the student or otherwise prepare a report along with its recommendations.

- 15.6.7 The EMEC should follow the above procedure in the spirit of the principles of natural justice in dealing with the cases of malpractice.
- 15.6.8 The EMEC shall submit its report to the COE along with its recommendations regarding punishment and quantum of penalty if any to be imposed upon the errant examinee or otherwise. The Committee shall follow the norms for award of punishment in *Section – 15.7.* hereunder as far as possible.
- 15.6.9 Except the punishment and action taken by the Chief Superintendent / Examiner on the examination day, no other penalty, may be imposed on a candidate except after an enquiry held, as far as may be, in the manner hereinafter provided.
- 15.6.10 The Controller of Examinations, in turn, shall place the report before the BUE / the Syndicate which shall consider and impose the penalty as recommended by the Malpractices Enquiry Committee or moderate the punishment or exonerate the candidate, as the case may be.

**15.7 Norms for award of Punishment in cases of Examination Malpractices and Misconduct**

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.1	Possession of incriminating material such as manuscript / printed or typed matter/ books or notes / banned electronic gadgets / written matter on body or clothes but nothing was copied from it in the answer booklet.	A monetary penalty of 5 MPU may be imposed on the student if the offence was committed for the first time to serve as a deterrent.
15.7.2	Actual copying of one question or part thereof from any of the copying material mentioned in Section 15.2.1 above.	Cancellation of that specific Course / Paper only of the current examination of the candidate. In addition a monetary penalty of 10 MPU shall be imposed on the candidate.
15.7.3	Extensive copying from the copying material mentioned in Section 15.2.1 for more than one question.	Cancellation of that specific Course / Paper and all the subsequent papers of the current examination of the candidate. In addition a fine of 20 MPU shall be imposed on the candidate.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.4	As in Section 15.2.1 and 15.2.2 but the Candidate exhibits insolent / violent behaviour or threatens	Cancellation of all the Courses / papers in the current examination of the candidate and debarring the candidate for one full academic year including University examinations.
15.7.5	Makes false claim / representation or uses forged/ fake document(s) pertaining to his / her eligibility to appear at the examination	Candidate shall be disqualified from appearing at any examination for a period of two to three years including the present examination depending on the severity of offence.
15.7.6	Possession of another examinee's answer-booklet	If the student whose answer-booklet is taken away by force and/ or without his / her consent, reports immediately to the HS, who then debars the candidate caught with another's answer-booklet from the current examination in full. In addition a fine of 10 MPU shall be imposed on the candidate.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.7	Possession of another candidate's answer-booklet	Debar BOTH the candidates from the current University examination if it was consensual. In addition a fine of 10 MPU shall be imposed on the candidate.
15.7.8	Possession of another candidate's answer-booklet and actual evidence of copying from there.	Debar BOTH the candidates from University examination for ONE academic year including the current examination. In addition a fine of 10 MPU shall be imposed on the candidate.
15.7.9	Found giving or receiving assistance at the examination, passing on the question paper with any scribbling on it / answer booklet for purpose of copying	Cancellation of that specific Course / Paper only of the current examination of the candidate. In addition a fine of 10 MPU shall be imposed on the candidate.
15.7.10	Mutual / Mass copying	Debar the candidates from University examination for ONE academic year including the current examination. In addition a Fine of 20 MPU for each candidate involved in mass copying.

Clause	Nature of Misconduct/ Malpractice	Quantum of Punishment and/ or Penalty (subject to moderation)
15.7.11	Smuggling-out or smuggling-in of answer-booklet as copying material	Debar the candidate from current examination of the Candidate and an additional TWO academic years along with a fine of 30 MPU.
15.7.12	Smuggling-in of written answer-booklet based on the question paper set at the examination	Debar the candidate from current examination and an additional period of THREE academic years along with a fine of 50 MPU.
15.7.13	Smuggling-in of written answer-booklet based on the question paper set at the examination and forging the signature of the HS	Debar the candidate from current examination and an additional period of THREE academic years along with a fine of 100 MPU.
15.7.14	Attempt to forge the signature of the HS on the answer-book	Debar the candidate from current examination and a fine of 30 MPU.
15.7.15	Counterfeiting of University / COE seal, or answer-booklets or office stationary used in the examination.	Debar the candidate from the current examination and additional TWO academic years along with a fine of 50 MPU.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.16	Any insertion in answer-booklet including currency notes/ bank cheques / other material in an attempt to bribe any of the person(s) connected with the conduct of examinations.	Debar the candidate from the current examination and an additional period of TWO academic years along with a fine of 50 MPU.
15.7.17	Using obscene language / violence/ threat at the Examination/Evaluation Centre by a candidate(s) before / during / after the University examination toward HS / CS/ Examiner / person(s) concerned with University Examinations	Debar the student from current examination and an additional period of TWO academic years along with a fine of 30 to 100 MPU depending upon of the gravity of the offence.
15.7.18	Impersonation at the University examination by any other bona fide student of the University	Debar BOTH the students from current examination and additional period of THREE academic years along with a fine of 100 MPU each for both students.
15.7.19	Impersonation at the University examination by any other person who is not a student of the University.	Debar the students from current examination and additional period of THREE academic years along with a fine of 200 MPU.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.20	Revealing identity in any form in the answer written or in any other part of the answer-booklet by the candidate at the University examination.	Cancellation of the current examination of the candidate in full along with a fine of 50 MPU.
15.7.21	Tearing off the answer-booklet / page(s) of the Answer Book	Cancellation of the current examination of the candidate in full along with a fine of 20 MPU.
15.7.22	Student involved in malpractice at Practical examination/ Dissertation / Thesis / Project Report at UG / PG level	The punishment shall be as per the punishment provided for the theory examination depending upon the gravity of the case
15.7.23	Student involved in malpractice in Dissertation/ Thesis at M. Phil. or Ph.D.	The punishment shall be withdrawal of the Degree / and three years to permanent disqualification for re-registration based on the gravity of offence
15.7.24	All other malpractice(s) / misconduct not covered in any of the above clauses.	Warning / Cancellation / Expulsion / or any other severe punishment and/or fine depending upon the gravity of the lapse.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.25	Malpractice / Misconduct by the candidate who was caught in an earlier instance and warned or punished for the offence	Severe additional punishment can be imposed on such students. This punishment may extend to double the punishment provided for the offence, when committed at the second or subsequent examination. In grave instances, the candidate may be expelled from the University permanently.
15.7.26	If a candidate is found talking to another candidate or to any unauthorized person inside or outside the examination hall, even after repeated warning by the HS.	Cancellation of that particular course of the candidate's examination.
15.7.27	A candidate on permission to visit the toilet during the examination is found reading or possesses some incriminating material relevant to the syllabus of the paper in the Verandah/toilet, etc.	Cancellation of that particular course of the candidate's examination.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.28	When a candidate is found guilty of deliberately changing his seat with another candidate or writing another candidate's Register Number on his answer-booklet.	The Hall Superintendent shall report the matter to the Chief Superintendent who may send him out of the centre, cancel his day's examination after due formalities.
15.7.29	If a candidate carries into the examination hall / centre any weapon and does not hand over the same to the HS or any other authorized member of the supervisory staff.	The Candidate shall be disqualified from appearing / passing in any university examination for up to two years including the present one depending upon the nature and gravity of the offence. In addition a fine of 50 MPU may be imposed.
15.7.30	If a candidate on being caught by an HS or any other authorized member of the supervisory staff, runs away from the examination hall along with the piece of paper / material in his possession or destroys any piece of paper believed to be of doubtful nature either by swallowing / throwing it away, or by any other means.	The Candidate shall be debarred from the Programme and from appearing / passing in any University examination for a period up to two academic years including the present. In addition a fine of 20 MPU may be imposed.

<b>Clause</b>	<b>Nature of Misconduct/ Malpractice</b>	<b>Quantum of Punishment and/ or Penalty (subject to moderation)</b>
15.7.31	If a candidate leaves the examination hall without handing over his answer-booklet to the HS concerned and takes it away with him, or tears it off, or otherwise disposes of his answer-book any part thereof inside or outside the examination hall.	The candidate shall be disqualified / debarred from appearing or passing in any University examination for one to three academic years including the present year of examination, depending upon the nature and gravity of the offence. In addition a fine of 20 MPU may be imposed.
15.7.32	If a candidate incites / compels any other candidate to leave the examination hall, or attempts to disturb, the conduct of examination or indulges in any kind of activity in the campus of the Examination Centre.	The candidate shall be disqualified / debarred from appearing or passing in any University examination for one to three academic years including the present year of examination, depending upon the nature and gravity of the offence. In addition a fine of 50 MPU may be imposed.

<b>Clause</b>	<b>Particulars</b>
15.7.33	Cancellation of a particular course will mean award of zero mark in the paper and the cancellation of the entire examination will be treated as failure in the entire (all papers) examination.
15.7.34	If a candidate appearing in failed course(s) / paper(s) of a lower examination along with the current examination is found guilty of use of unfair means in a course / paper of the lower or the current examination, either of the examinations or both the examinations (lower and current) may be cancelled.
15.7.35	If any examiner reports any case of use of malpractice which he / she detected during the course of evaluation of answer-booklet the same shall also be decided by the EMEC after getting the answer booklets checked and giving the candidate a reasonable opportunity to defend himself.
15.7.36	The disqualification under misconduct / malpractice will be treated as a failure in the examination and consequences of failure will follow. If a candidate is also disqualified from appearing at the next one or more examinations he shall not be admitted to any course of study, or allowed to appear at any examination of this University, during the period of such disqualification.
15.7.37	Whenever entire examination of the semester is cancelled, it applies only to all the theory and practical papers of that semester and does NOT include any dissertation / thesis / fieldwork / project work that the candidate might have appeared. However, debarring the candidate for one or more semesters/ annual examinations also debars him from submitting his dissertation / project work etc. during that period.

**16) Examination System Integrity**

The integrity of the examination system is central to the academic credibility of the University and it shall be ensured/enforced by the Board of University Examinations (BUE). Any vulnerability and violation of the system may denigrate the status and reputation of the University and may cause damage to all those in an academic pursuit at the University. It is an established fact that an examination system with utmost integrity makes the students hardworking and motivated, and thus enables them to get right placement and/or opportunities of higher studies through competitive examinations. Since the integrity of the examination system quite largely depends on the integrity of the individuals, both internal and external, who play different roles in various capacities, any lapses intentional or accidental by the persons concerned in the conduct of University examinations need to be dealt with appropriately based on the gravity of the lapse / malpractice to serve as a deterrent. As a preventive measure, smart cards and biometric technologies may be used to restrict unauthorized entry into sensitive areas.

16.1 The Vice Chancellor, with the approval of the BUE, is empowered to constitute an Examination Integrity Violations Enquiry Committee (EIVVEC) to enquire into the allegations of lapses or malpractices committed by the personnel employed / appointed in the conduct of examination, evaluation, processing and declaration of results and all other incidental and ancillary matters.

- 16.2 The constitution of the Examination Integrity Violations Enquiry Committee shall be as follows:
- 16.3 Three Deans of Faculties, one of whom shall be the Chairman
- 16.4 One member nominated by the Syndicate
- 16.5 One member nominated by the Academic Council
- 16.6 One member nominated by the Board of University Examinations
- 16.7 Controller of Examinations – Member Secretary / Convener
- 16.8 The committee shall conduct an enquiry by providing an opportunity to the errant to defend him / her and submit its report to the University. The BUE, based on the report of the committee, shall impose suitable and necessary punishments and penalties to serve as a deterrent and maintain the integrity of the examination system of the University.
- 16.9 The Vice-Chancellor shall be the competent authority to enforce the actions recommended by the BUE against the question paper-setters, examiners, scrutinizers, teachers or any other persons, connected with the conduct of examinations, committing lapses or using, attempting to use, aiding, abetting, instigating or allowing malpractice(s) at the examinations conducted by the University.
- 16.10 Examination System Integrity Violation includes one or more of the following acts or lapses / omissions on the part of the person(s) concerned with the Examination:

- 16.10.1 Leakage of question(s) or question paper at the University examination before the time of examination
- 16.10.2 Gross improbity and negligence in evaluation of the answer scripts in theory or practical examination by the examiner
- 16.10.3 Intentional manipulation of marks by the tabulation staff in examination section with a vested interest.
- 16.10.4 Negligence in the random assigning of Dummy numbers on written answer-booklets prior to evaluation by an examiner.
- 16.10.5 Unauthorized entry into the restricted zones / areas including Answer-script storage areas and the data processing centres.
- 16.10.6 Or any other similar act/s and omission/s which may be considered as malpractice(s) or lapse(s) by anyone concerned with the University examination.

**16.11 Malpractices / Misconduct- Some General Policies**

- 16.11.1 If the Vice-Chancellor receives complaints to the effect that the integrity of a University examination has been violated at an examination centre as a consequence of mass copying or other use of unfair-means, he may after enquiry, order re-examination for one or more courses.

- 16.11.2 Ordinarily, the University shall conclude the issues / matters related to malpractices and the processes thereof within a period of three months or in any case before the commencement of the next examination.
- 16.11.3 The Vice-Chancellor shall have the power at any time to institute an enquiry and to punish such malpractice / misconduct or breach of rules by exclusion of such student(s) from any University examination or from any University Programme in the University Department or from any Convocation for the purpose of conferring degree either permanently or for a specified period, or by cancellation of the result of the student in the University examination for which the student appeared or by deprivation of any University Scholarship held by him/her or by cancellation of the award of any University prize or medal to him / her or by imposition of fine or in multiple of the aforesaid ways within a period of six months.
- 16.11.4 Examination Result(s) of the examinee(s)involved in such misconduct / malpractice cases shall be withheld till the Competent Authority arrives at a final decision in the matter and the concerned examinee(s) and the Department to which he / she belongs to, shall be informed accordingly.

## **17) Post-Examination Work / Activities**

### **17.1 Pre-Evaluation Processing of Theory Answer scripts**

17.1.1 All the answer-booklets of an examination for a specific course shall be packed in suitable covers with each cover containing not more than twenty answer scripts.

17.1.2 The answer scripts shall be then packed in paper covers course / subject wise, separately for each question paper code (not more than twenty in each cover) and in turn packed in cloth bags, both of which shall be sealed and superscribed with details of the centre, course, year or phase, subject, question paper codes, date of exam, and dispatched to the COE on the same day along with the check list/ daily summary and receipt obtained.

17.1.3 Dummy Number Printing of Answer-scripts is undertaken after due random shuffling of the Answer-scripts. The part (Part-1) revealing the identity of the candidate is then cut off from the cover page of the Answer-script in a secure manner and stored safely in the custody of the COE as quickly as possible.

17.1.4 The Identity masked and dummy number printed Answer-scripts are then packed in packets of 20 or part thereof.

17.1.5 On the day of commencement of Central Valuation, the Identity masked answer-script packets shall be transferred to Valuation Centre and handed over to the Chairman of the respective BOE.

**18) Central Evaluation of Theory Answer scripts**

- 18.1 A period of Central valuation of answer scripts is finalized by the COE in consultation with the respective Chairman of the Board of Examiners.
- 18.2 The shortlisted examiners are issued appointment order to evaluate the answer-scripts of the University examination in Form-X604 along with Form-X605 in which they shall express their acceptance of the offer within the stipulated period.
- 18.3 All theory answer scripts shall be sent to the Central Valuation Center (CVC) securely after the due process of assigning Dummy numbers and removal of the flap containing the examinee's Register number.
- 18.4 Each Chairman of the Board of Examiners shall appoint a Custodian and a deputy custodian, if needed, to keep the answer scripts and other examination related stationery, assist the examiners in performing the duty and perform other tasks that are essential for the effective completion of the evaluation work within the stipulated period.

**18.5 Appointment, Duties and Responsibilities of Custodian/ Deputy Custodians**

- 18.5.1 Custodian(s) are appointed by the Chairman of the BOE with the approval of the COE. He / She shall play a responsible and very important role in the smooth conduct of valuation and documentation, etc. Any teacher of the University, who has

put in a minimum of 5 years of unblemished fulltime service, shall be eligible to act as Custodian for the valuation of theory papers allotted to the central valuation centre.

18.5.2 They shall work during the specified hours on all the days (including extra hours and holidays) and shall complete the work as per the calendar of events given by the COE.

18.5.3 His / her first and foremost duty is to take custody of the answer-script packets / bundles received from the COE and ascertain whether the total number of answer books received at the valuation centre is correct after necessary verification and document the same in Form - X310. The Custodian shall maintain a complete account of the bundles, packets and scripts received.

18.5.4 They shall arrange answer paper bundles received from the office of the COE semester-wise, course-wise, bundle-wise. They shall verify and confirm that they have not received any other non-relevant bundles.

18.5.5 The Custodian shall also procure sufficient quantities of necessary stationery items required for the purpose of central valuation. The University will provide advance contingency to each valuation center to meet the day- to-day expenditure.

- 18.5.6 He / she shall ensure that the evaluation process is done from 9.30 a.m. to 5.30 p.m. and the valuation goes on throughout the day with necessary breaks for tea and lunch.
- 18.5.7 If any answer book bundles not connected to their unit is received, the same may be intimated to the Valuation Centre Superintendent, at the valuation centre or the COE office.
- 18.5.8 He / she shall pay special attention and make random checks to ensure that the mistakes are not committed in totaling of marks or marks entry on the OMR mark-sheets. He / she shall maintain strict confidentiality in all matters concerning the evaluation.
- 18.5.9 Only examiners duly appointed by COE / the Chairman, Board of Examiners, approved by the University should be assigned valuation work and none else.
- 18.5.10 He / she shall ensure that the Registers pertaining to issuing of Answer-scripts to the Examiners, receiving of assessed answer-scripts from the Examiner are maintained properly.
- 18.5.11 Only one packet of answer-scripts shall be given at a time for valuation. Another packet will be issued after completing the Valuation of answer scripts of the previous packets. Only 40-60 answer-scripts should be issued for evaluation by each examiner in a day.

- 18.5.12 He / she shall remind the examiners to ensure that the papers are valued strictly in accordance with the scheme of valuation, if any, and that the papers are not valued in a hurry.
- 18.5.13 Daily account is to be maintained regarding the number of answer packets valued and number of OMR sheets sent to the COE from time to time with acknowledgement.
- 18.5.14 He / she shall provide information on the day-to-day basis about the on-going valuation process to the Chairman of BOE.
- 18.5.15 The Deputy Custodian(s) / staff allotted to Custodian shall help the Custodian to perform his duties.
- 18.5.16 All instructions given in this respect from time to time by the Chairman, BOE / COE shall be followed by the Custodians.

**19) Appointment, Duties and Responsibilities of Examiners**

- 19.1 No one can claim appointment as examiner or any other examination work as a matter of right.
- 19.2 The COE shall appoint examiners for each examination from among the list of eligible examiners approved by the Board of University Examinations depending upon the need. Persons whose names are not in the approved list shall not be appointed. However, under special circumstances after obtaining the permission from the Vice-Chancellor, exceptions may be made and such cases shall be reported to the BUE at its next meetings. Under any circumstance, the Chairman of the BOE shall not

issue appointment orders on his / her own. All Examiners will be required to submit their acceptance of the offer or otherwise in the Acceptance Form-X605.

- 19.3 The Internal examiners shall normally not be allowed to decline the assignment of examination work except under extraordinary situations since examination duty is treated as part and parcel of academic work.
- 19.4 The external examiners shall intimate their acceptance or otherwise as soon as they receive the communication from the University or in the prescribed time limit. The acceptance of the offer may also be informed by email to the COE specifying all the details as per Acceptance Form-X605. If no communication is received within the prescribed time limit, it will be presumed that the assignment is not accepted by the examiner.
- 19.5 If by chance, a course has been assigned wrongly to the examiner, he shall indicate the same and decline the offer. He shall NOT accept an offer that is NOT related to his course / expertise / knowledge domain.
- 19.6 The Examiners shall maintain strict secrecy regarding their appointment and other work allotted in connection with the examinations.
- 19.7 Examiners on central valuation duty shall report to the Custodian of concerned valuation centre allotted to him / her with the appointment letter from COE and register their presence and acceptance of the Answer-booklet packets / covers in the Form-X310 and affix their signature.

- 19.8 On the day of commencement of valuation, if applicable sufficient time shall be utilized for discussion with regard to filling of OMR marks sheet and shading and other related valuation guidelines and regulations concerning the University examination.
- 19.9 The Examiners shall NOT evaluate the answer scripts NOT related to his / her courses.
- 19.10 The Examiners have to count the number of answer scripts in the packet and ensure that it tallies with the claim on the Packet. The Examiners must ensure that Dummy Number printed on the answer script and OMR sheet are the same and shall not value the packets in case of any discrepancy. Discrepancies, if any, should be brought to the notice of the Chairman, BOE through the Custodian immediately.
- 19.11 The examiners shall value the scripts strictly in accordance with the scheme of valuation given by the paper setters, if any.
- 19.12 The examiner shall value all the answers and take into account the marks of only the maximum required or permitted questions by considering the marks awarded to the questions advantageous to the candidate and round off those not considered.
- 19.13 The examiners shall write 'ZERO' wherever answers do not deserve any marks. The examiner shall total up the marks.

- 19.14 The examiner shall ensure that no answer or part of any answer is left out in valuation. The examiners should read the answer script in detail and evaluate the scripts.
- 19.15 The marks awarded for each question shall be entered in the appropriate row & column on the mark-table on the Front Page of the Answer-booklet. The total marks shall be entered both in figures and words with his / her signature.
- 19.16 The examiner shall not take the answer scripts outside the valuation center under any circumstances.
- 19.17 If the examiner during valuation of the scripts suspects any case of malpractice, he / she shall immediately report it to the Chairman of BOE through the Custodian. He / she shall submit the suspected script after valuing it fully along with his / her report to the Chairman of BOE, who in turn shall forward the same to the COE. He / she shall enter such references in the marks list against the register number / code number.
- 19.18 The examiner shall report to the COE, cases of any candidates of other person on his / her behalf approaching him / her for any favor or writing letters to him / her indicating the name of the person, the register number / code number of the candidate, course code etc.

- 19.19 The examiners shall value not less than 40 scripts if there are more Parts and 60 scripts if only a Part (Part-A / Part-B etc.) of the answer-booklet to be valued.
- 19.20 The examiner shall prepare marks lists in the prescribed proforma provided for the purpose. The Examiners should have full knowledge of shading and filling of OMR marks sheets
- 19.21 Black Ball point pen shall be used preferably for shading of OMR marks sheet. Sufficient care should be taken while shading on the OMR mark-sheets since any mistakes made in the OMR marks-sheet at the time of shading cannot be rectified later.

**20) Practical / Clinical / Viva-voce Examinations**

- 20.1 The University shall notify the examination schedule of conduct of Practical / viva-voce examinations at least two weeks prior to the Practical examinations. Detailed time table of the Practical examinations, course-wise, batch-wise, etc., shall be announced by the Chairman, BOE.
- 20.2 The University shall appoint Examiners (preferably Internal) for Practical examinations for different courses / subjects from the panel of examiners submitted by the respective Boards of studies. Whenever Internal Examiners are appointed, all efforts should be made to appoint the faculty who handled the practical classes during the respective academic period. When several teachers are involved in handling the classes, they shall be appointed by rotation. External examiners shall

necessarily be appointed for Clinical Examinations and viva-voce examinations. The HOD of the concerned department / Chairman of BOE shall be responsible for the conduct of the practical / viva-voce examination(s) in the respective departments.

20.3 The required number of answer booklets and other material shall be demanded and obtained from the University by the Chairman, BOE / HOD, well in advance for practical examinations.

20.4 Candidates shall be in possession of Hall Tickets on all the days of Practical examinations. In the event of non possession or loss of Hall Tickets the HOD is empowered to permit the Candidate to appear in the examination in exceptional circumstances and after verifying the identity of the candidate.

20.5 After the practical examination, practical answer scripts shall be packed in separate covers and all such covers shall be enclosed in cloth bag(s) subject-wise, super-scribed appropriately and sent to the University after completion of all the Practical examinations.

20.6 Marks allotted by the examiners for the practical and viva-voce examination shall be entered in words and figures on prescribed format and enclosed in covers prescribed for the same.

## **21) Remuneration / Honorarium / Allowances**

21.1 Remuneration / Honorarium / Allowances etc., shall be paid to the Chairman and the Members of the BOE, Paper-setters, Examiners,

Custodians, Coordinators, Chief Tabulators, Tabulators, Chief Superintendents, Hall Superintendents, Observers and others who have put in work in connection with the conduct of examinations, as per the rates fixed by the University authorities from time to time, after completion of the assigned duties and after necessary documentation, at the University, along with TA / DA, remuneration for valuation, as applicable.

- 21.2 Remuneration for the appointed staff other than examiners shall be consolidated and claimed from the University on the prescribed form at approved rates. Miscellaneous expenditure for conduct of practical examination shall be paid out of Department examination funds and subsequently a consolidated claim shall be preferred based on approved rates in vogue, supported by bills in original.

## **22) Post-Evaluation Data Processing / Tabulation**

- 22.1 There shall be restricted / classified zones within the office of COE with adequate security measures to ensure that no unauthorized person has access to sensitive materials or information that would affect the outcome of examination process. Only authorized persons shall have access to these areas.
- 22.2 All the data processing relevant to the marks shall be done in these restricted / classified zones.
- 22.3 A Deputy COE shall be given the responsibility to ensure that no violation occurs in these zones by way of unauthorized access, especially during the period between evaluation of answer scripts and publication of results.

## **22.4 Marks Tabulation and Validation**

22.4.1 The results of each of the examinations shall be tabulated in the Examination Database maintained on well secured Computer server with restricted access. The persons responsible for such activity may be referred to as Marks-Tabulators.

22.4.2 Marks-Tabulator(s) shall be appointed by COE with the approval of Vice-Chancellor. Marks-Tabulator(s) shall be staff members of the University Examination Wing. They shall possess sufficient computer programming and database (SQL & RDBMS) skill and experience.

22.4.3 The marks tabulated by the Marks-Tabulator shall be scrutinized and validated by a Validator who shall be appointed by the COE on the advice of the BUE. Validator(s) shall be drawn from the teaching faculty of the University with a teaching experience for a period of not less than 5 years.

22.4.4 The Validator shall:

- ❖ Check the posting made by the Marks-tabulators from the original statement submitted by the examiner
- ❖ Check totals/aggregates posted by Marks-tabulator;
- ❖ Check the implementation of the resolutions of the Passing BOE;

- ❖ Check the result prepared by the Marks-Tabulator for failures, honors such as Distinction, Pass, Fail, and Absentees etc.
- ❖ Validate the Grades, GPA and CGPA etc. computed on the basis of the marks obtained by the candidates in examination.
- ❖ Any other discrepancy / errata/ manipulation / inconsistency etc. that might have crept into the marks database.

## **23) Meeting of Passing Board of Examiners**

### **23.1 General Guidelines**

- 23.1.1 The Passing Board shall meet within the University campus on the assigned day with select members as appointed by COE from the respective Board of Examiners.
- 23.1.2 The members shall consider any moderation issues arising out of wrong / out-of-syllabus questions / unsolvable problems, etc. and the marks to be awarded to the candidates affected by such issues.
- 23.1.3 The members shall review the shortfall in marks of failed candidates for each course and arrive at the criteria for awarding grace marks in such a manner that marginally failed candidates may clear the course. The award of grace marks shall be subject to the conditions given in Section 23.2.

## **23.2 Award of Grace Mark / Moderation of Marks**

- 23.2.1 Moderation of marks may be carried out in special / unique circumstances such as, out-of-syllabus question, wrong question etc., so as to benefit all the candidates in a course / paper of the examination irrespective of the marks secured by candidates individually.
- 23.2.2 The moderation of marks may be done on the basis of the representation by the examinees concerned or on the basis of the unanimous decision of the Board of Examiners concerned for valid reasons that have to be substantiated in the minutes of the BOE meeting.
- 23.2.3 Grace marks to the extent of 1% of the aggregate / total marks prescribed for an examination will be awarded to a candidate failing in not more than 2 theory papers, as the case may be, in which minimum pass marks have been prescribed, provided that the candidate passes the examination by the award of such Grace marks, such grace marks shall be split in a manner that may serve to pass both the papers wherever applicable.

- 23.2.4 If 1% of the aggregate marks works out in fraction, the same will be raised to the next whole number. For example, if the maximum aggregate marks prescribed for the examination are 750, grace marks to the extent of 8 will be awarded to the candidate.
- 23.2.5 No grace marks shall be awarded in the case of failure in Practical examination(s).
- 23.2.6 If a candidate passes in all subjects in the examination without the benefit of any grace marks but misses Distinction or First Division by marks less than 1% of his / her aggregate in the final examination, such grace marks shall be awarded to him / her so as to entitle him for the respective higher division, as the case may be. Such marks shall be added to the paper in which he / she gets the least marks in the final. The marks entered in the marks-sheet will be inclusive of such grace marks and it will not be shown separately.
- 23.2.7 The Grace marks will be awarded only, if the candidate appears in all the papers prescribed for the examination in case of regular candidates or all the failed papers in case of candidates writing supplementary examinations. Absence of a candidate in any paper(s) that he or she has registered for will make him / her ineligible for grace marks.

- 23.2.8 The grace marks of Candidate(s) who have completed their period of study and yet could not clear one or more papers shall be subjected to a maximum of 2% of the aggregate of the maximum marks in which he / she has altogether appeared in that examination. For example, if the aggregate marks of papers written by him are 300, the maximum eligible grace shall not exceed 6 marks, which may be split according to the need.
- 23.2.9 While awarding grace marks for more than one paper / subject, the papers / subjects of passing shall be selected for the award of grace marks in the order of decreasing (maximum => minimum) grace marks required for obtaining the required marks for passing so as to give maximum benefit for the candidate.
- 23.2.10 Grace marks shall be awarded only to the required extent to help the candidate pass the paper / subject and not more even if the candidate has a higher limit of eligible grace marks in that examination.
- 23.2.11 In case of professional degree / diploma programs, the grace marks awarded shall be in concurrence with the rules and guidelines, if any, of professional statutory bodies at the All India level such as AICTE, MCI, DCI, PCI, Bar Council, etc.

## **24) Result Finalization and Publication**

24.1 The results of the examinations shall ordinarily be declared within 30 days of the last examination and the University shall dispatch the result along with the statement of marks and passing certificates (wherever necessary) to the Departments for distributing the same to the concerned students.

The results shall be published on the University website and if necessary also on the notice boards in the Ground floor of the office of COE.

### **24.2 Results Withheld and their Declaration**

24.2.1 The results of the students writing wrong Register numbers will be kept in reserve and will be declared separately after confirming their identity, hand writing by comparison with the original answer book and the candidate of which wrong seat number is written is not appearing for that subject or his / her proper marks are communicated to him / her.

24.2.2 The students writing wrong Register numbers shall pay penalty of 5 MPUs per paper.

24.2.3 If there is discrepancy in the courses mentioned in the examination form and actual examination given by the candidate, the results of such examinee will be withheld and will be declared after due confirmation of the term that he / she had kept with approval of the Chairman, BOE & the Controller of Examination.

- 24.2.4 The results of those candidates held in reserve for malpractice and / or lapse in the examination will be declared as per the resolution passed by the Board of University Examinations.
- 24.2.5 The result of the candidate writing wrong course in the examination form and actually appearing for the different course shall be withheld. The result of such candidate will be declared after confirming from the Chairman of BOE regarding the subject and payment of a fine of 5 MPUs per paper.
- 24.2.6 The results reserved for dues payable to University and / or College shall be declared only after payment of the said dues and upon submission of the Nil-Arrears certificate from the concerned section / Department.

## **25) Grievances in Examinations**

- 25.1 The examination system of the University shall also provide for mechanisms to redress / resolve any reasonable and valid issue(s) of grievances and provide relief to the Candidates concerned. All such matters shall be resolved subject to the University rules and regulations.

### **25.2 Photocopy of Answer-script(s)**

- 25.2.1 After declaration of the examination results with marks, if any candidate wishes to apply for Photocopy / photocopies of theory answer-scripts (subject to a maximum of 3 scripts / candidate), he / she shall apply to

the COE by paying the prescribed fees (Appendix-37) notified by the University from time to time within 10 days from the date of announcement of results of the respective course.

### **25.3 Re-totaling**

25.3.1 After obtaining the photocopy if the candidate finds any discrepancy in totaling or omission of marks awarded to the question(s) in the table on the front sheet etc., he / she shall submit application (Form-X104) along with the prescribed fees (Appendix-37) for correction of such errata and issue new corrected marks-statement to the COE through the HOD of the concerned Department within 10 days from the date of receipt of the photocopy of the script. Photocopies of the answer-scripts, marks-statement shall also be enclosed with the above application form.

25.3.2 The COE shall refer such cases to the Computer section / scanning section to verify the scanned data and OMR Sheets and in case the required data is not available in the said section the same may be referred to the person in custody of the valued answer-scripts. All such answer-scripts shall be subjected to review by an examiner from the approved panel of examiners and a report duly signed by him / her is obtained. On receipt of the said

report the COE shall direct the concerned staff to make necessary correction in the database / tabulation of marks and to issue corrected marks-statement. If any examiner / staff is found to be negligent / careless in many such cases necessary action may be initiated against him / her.

#### **25.4 Re-evaluation**

25.4.1 Re-evaluation is applicable only for theory papers, in case of single valuation only and not for double valuation and shall not be entertained for other components such as practical / Thesis / Dissertation etc.

25.4.2 Every application for revaluation should be submitted by the candidate in the prescribed form (Form-X104) along with the prescribed fee (details given below) to the Controller of Examinations within TWO WEEKS of obtaining the photocopy of the answer-script. The application form can be downloaded from the URL: [www.annamalaiuniversity.ac.in](http://www.annamalaiuniversity.ac.in).

25.4.3 Re-evaluation of answer-scripts can be sought only with at least one affirmation by a teacher relevant to the subject as mentioned below and that any of the criteria below are satisfied:

- Finds that any answer(s) to question(s) that has / have not been evaluated

- Finds that the answer-script valuation in full or part is not justified and there is reasonable ground for revaluation.

- 25.4.4 An application for re-evaluation shall always be supported by an affirmation in Form-X909 to the fact that there is sufficient ground for re-evaluation by at least one teacher of the concerned subject. The application for revaluation shall be submitted to the Controller of Examinations through the HOD of the concerned Department of study.
- 25.4.5 The COE shall arrange for re-evaluation of such answer-scripts by an examiner from the approved panel of examiners. The re-evaluation marks, higher or lower than the original marks will be considered.
- 25.4.6 The marks awarded by the original examiner, if marked on the answer scripts, shall be concealed from the answer script and sent for revaluation.
- 25.4.7 In case of Re-evaluation(s), the University may provide two Answer-scripts of candidates who have secured high marks in the concerned paper/ subject to serve as bench-mark for re-evaluation.
- 25.5 In all cases of Re-totaling / Re-evaluation, Fees once paid will not be refunded. Applications which are late and not in the prescribed form and which are found defective in any respect will not be entertained and will

be summarily rejected without notice. In the case of applications which are found in order, the University shall take steps to get the answer-scripts re-evaluated.

25.6 The result of the re-evaluation shall ordinarily be made known to the student through the Head of the Department within a month of the last date of receipt of applications by the Office of the Controller of Examinations. No interim enquiries of any kind will be entertained in this regard. It may be noted that the University can never set in any case a time limit for the issue of the results of revaluation. The University will also therefore, not be liable for any kind of loss sustained by candidates concerned, on account of the delay, if any, in issuing the results of revaluation.

25.7 Issue of Duplicate Hall Ticket / Mark Statement / Transcript / Consolidated Mark Statement / Degree Certificate may be done after due application process with the necessary fees / fine, as the case may be.

### **25.8 Name Change of the Candidate during study**

25.8.1 A student who is currently enrolled may change or alter his / her full, legal name on the permanent academic record by presenting the appropriate application in Form-X103 along with the necessary supporting documentary evidence to the COE.

- 25.8.2 The change of name in the records of the university may be sanctioned on any one of the grounds such as Marriage (Ladies), Adoption, Assuming a new name by any person which has been notified by the order of the Central Govt. or a State Govt.
- 25.8.3 A female student who wishes to discontinue the use of her married name and resume the use of her maiden name, or another name, shall present a copy of the divorce decree, or signed court order, showing court restoration of the maiden or other name.
- 25.8.4 No change of name will be made in the past records of the University.
- 25.8.5 Students should send the application through the Head of the Department and Dean of the Faculty.
- 25.8.6 The candidate should apply in Form-X103 along with the attested copy of the 12th Standard and / or last eligible examination (on which candidate's eligibility is finalized). The prescribed fee for change in name as mentioned in the Appendix-F of this ordinance.
- 25.8.7 Documents required for change in name are as follows and must accompany the application for change in name:
- Tamil Nadu State Govt. Gazette (Original copy)
  - Affidavit (Ladies) (Original copy)

- Marriage Certificate (Ladies) (Original copy)
- Photocopy of the Statement of Marks of last examination

25.8.8 After the necessary changes in permanent documents, corrected copy / copies of the statement(s) of the marks and other certificates shall be issued on payment of the fees applicable at that time.

### **25.9 Error Correction in Name**

25.9.1 To correct the spelling or the proper sequence of the name which are not due to data entry errors, the student shall present a copy of his / her birth certificate / Secondary School Certificate / other Government record such as Passport.

25.9.2 Any error in the name of candidate printed on the Marks statement / Certificate / Hall Ticket may be brought to the notice of the COE for necessary correction with appropriate evidence. Such requests may be made in Form-X103.

## **26) Off-Campus Examinations for DDE Programmes**

### **26.1 Examination Time Table**

26.1.1 The time table for the conduct of DDE examinations at various centres is planned sufficiently in advance and published on the University website.

- 26.1.2 Sufficient care is taken to ensure that there is no clash / overlap of examinations for candidates who appear in regular as well as supplementary examinations.
- 26.1.3 The time-table shall be displayed at the centre of examination sufficiently in advance for necessary arrangement and convenience of the candidates.

## **26.2 Examination Centre**

- 26.2.1 DDE Examinations shall be conducted in several venues / centres as may be warranted for the distribution of candidates across the country and abroad. Single / Multiple examination venues such as Schools and Colleges shall be fixed in each city depending on the number of candidates registered for the examination in that city and the seating capacity of each venue. Such centres shall be easily accessible to the candidates by public transport, and shall have water and toilet facilities.
- 26.2.2 The Head of the Institution hosting the examination shall serve as the Chief Superintendent. As Chief Superintendent it shall be the responsibility of the Principal of the School / College to co-ordinate the entire arrangements. He shall be primarily responsible for safe keeping and dispatch of all examination related materials.

- 26.2.3 The Chief Superintendent shall appoint sufficient number of suitable Hall Superintendents drawn from the staff of the School / College or any sister institutions close by.
- 26.2.4 All the Staff allocated duty shall have an appropriate identity card whose photocopy shall be maintained by the Chief Superintendent.
- 26.2.5 The general duties of the Chief Superintendent and Hall Superintendent shall be the same as outlined for on-Campus Examination Centres in Sections 11 & 12 respectively.

### **26.3 University Representative**

- 26.3.1 University Representatives (UR) shall be appointed from the Faculty members who have expressed willingness for the same. One University representative shall be posted to each of the examination venues / centres.
- 26.3.2 University representative shall be carrying the relevant Question Paper bundles to the assigned centre and shall ensure its safe keeping and distribution with the help of the Chief Superintendent of that centre.

26.3.3 The University representative shall be at the venue one day prior to the start of the examinations and shall oversee the conduct of examinations in co-ordination with the Chief Superintendent. He shall attend to duty on every day of the examination till all the examinations are completed.

#### **26.4 Dispatch of Answer Scripts**

26.4.1 All the Answer scripts shall be packed into appropriate packets (up to 20 answer scripts or part there off) which are then bundled, wrapped in cloth on the outside and sealed for safe transport by Registered / Speed Post or any other approved, secure, and efficient logistic mechanism that may evolve by way of contract / agreement.

26.4.2 The bundles containing the Answer scripts shall be dispatched as quickly as possible preferably on the same day and shall not be delayed. If there are any reasons for delay, the same shall be recorded and intimated to the office of COE.

**27) Online Examinations**

With advancement in information / digital technology and increasing affordability, it would be in the interest of the candidates, the University builds / leases / hires the infrastructure and services of secure and trustworthy IT companies to assist in the conduct of University examinations online. This would save a lot of time and the cost of logistics in the conduct of off-campus examinations especially in foreign countries and distant places in India. As and when such examination services / systems are evolved, the pertinent rules and regulations shall be included in this section by the appropriate process / procedure.

**28) Miscellaneous**

**28.1 Internal Assessment Marks**

28.1.1 The Internal Assessment marks shall be awarded as per the academic regulations of the individual Programme.

28.1.2 The Internal Assessment marks shall be submitted to the Controller of Examinations at the end of each academic session before the commencement of the University Examinations in the prescribed form provided by the COE.

**28.2 Answer-Booklets**

28.2.1 The Answer booklets shall be roughly of A4 Paper size and shall be fully stitched on the left side margin with thread.

28.2.2 The Cover page shall be an OMR page with various Parts.

28.2.3 The Answer booklet shall have 38 faintly ruled pages for writing.

### **28.3 Post-evaluation Custody and Disposal of Answer-scripts**

- 28.3.1 The evaluated Answer-scripts shall be preserved safely for a period of at least six months from the date of publication of results in their original packets bundled together. The bundles are to be stacked in racks with proper ventilation and free from termites / pests. The answer-book storage area is to be fumigated and aired periodically so that they are preserved without any damage.
- 28.3.2 Appropriate staff shall be assigned the responsibility of safe-keeping of the answer-scripts till they are approved by the VC for safe disposal by shredding.
- 28.3.3 Records of all such bundles shall be maintained in appropriate computer database / Register for easy retrieval at a later stage if necessary. Any retrieval and return of the answer-script(s) shall also be documented with date and time in the Register/ database.
- 28.3.4 Answer-scripts shall be made available from the storage area for purposes such as Photocopying / Re-totaling / Re-evaluation etc. Such transactions shall be recorded.
- 28.3.5 The details of all Answer-scripts so shredded / destroyed / disposed shall be documented in Form-X499 and certified by the Dy. COE.

#### **28.4 Scribes for Disabled Candidates**

The facility of Scribe / Reader / Lab Assistant may be allowed to any person who has disability of 40 % or more, if so desired by the person. Such candidates may be given compensatory time of one hour for examination of 3 hours duration.

#### **28.5 Examination Audit**

28.5.1 Efforts shall be made to audit critical processes in the entire examination system by appropriate / designated team of academicians drawn from the senior faculty of University and other sister State Universities.

28.5.2 Efforts shall be made to audit the standard of question papers and the evaluation of theory answer scripts by examiners on a regular basis. Answer-scripts awarded with high, average and low marks shall be randomly sampled for such process. The marks shall be masked before the auditing, which shall be carried out by external examiners who shall not be from the same institute as the original examiner evaluating the Answer-scripts.

**29) Appendix-A: Certificates**

A candidate who has passed any final degree examination may, after the declaration of his result and before the date of the next convocation is entitled for a Provisional Certificate of passing the examination of the University. The Provisional Certificate shall be issued along with the marks statement / transcript including the Consolidated Mark Sheet for the entire period of study, after declaration of results within a reasonable period.

**30) Appendix-B: Instructions related to Examinations**

**30.1 Instructions to candidates on filling examination registration form**

**30.2 Instructions and Code of Conduct (ICC) for Candidates taking Examinations**

*(To be sent to the students along with the Hall Ticket/ Displayed in Examination Notice Board)*

The examinee should bring his/ her Hall Ticket daily, without fail. He / She should sign, at the appropriate place, on the Hall Ticket. He / She should be present in the Examination Hall 10 minutes before the start of examination.

Candidates are responsible for noting correctly the times and places of their examinations.

The examinee should look at the seating chart and locate the actual position of his seat on a particular day in a particular Hall. The examinee should occupy his correct seat in the Examination Hall.

He / She should seek the permission of the Chief Superintendent, if the Hall Ticket is lost or he / she forgot to bring it on a particular day.

If the Hall Ticket is lost, the Candidate shall approach the HOD concerned and request for a duplicate hall ticket with an application to the COE. The duplicate Hall Ticket can be obtained from the Office of the COE by producing the application approved by the HOD with due fees / fine as prescribed by the University.

The candidate must sign the attendance sheet on all the days of his / her examination.

The candidate should not leave the seat without permission once the examination has started.

Candidates shall NOT be allowed entry into the Examination Hall after half an hour of the Examination. No Examinee can exit the examination hall for the first hour of the examination.

No Supplementary answer-books will be issued. The candidate should write neatly and legibly.

The candidate should make all due entries on the cover page very carefully & only at the space provided for the purpose. HE / SHE SHOULD ENTER HIS / HER REGISTER NUMBER CAREFULLY ON THE ANSWER-BOOK AND SHADE THE OMR REGIONS WITH BLUE / BLACK BALL POINT PEN ONLY.

A space of above two lines can be left after completion of answer of each question or part thereof.

No blank pages should be left between answers.

The candidates are advised to answer the question at one stretch and not in bits and pieces. If a question has more than one section, all sections must be answered continuously.

Cancellation of a page / paragraph / few lines: Sometimes students are not satisfied with the contents of an answer and they want to cancel it. When a whole page is to be cancelled, the page may simply be crossed from top to bottom. If only a paragraph is to be cancelled, the paragraph may be marked in a rectangle and then be crossed.

Bringing cell phone / programmable calculator (i.e. having memory capacity of more than six numbers)/ communication devices in the examination hall is strictly prohibited. Examination conducting authority will not be responsible for the custody of such articles. However, use of scientific calculator is permitted.

During the course of examination, the candidates shall be under the discipline and control of the Hall/ Chief Superintendent and shall obey all orders issued by the Superintendent in all matters relating to the Examinations.

Candidates should note carefully and see that the questions required to be answered in separate answer books, are answered in separate answer books. If they fail to do so, questions of only one section will be examined and those of the other section will be treated as cancelled.

Candidates should note carefully that it shall be deemed an offence amounting to cheating if they write answer the same question more than once.

Candidates should not leave the Examination Hall without handing over their answer books to the Hall Superintendent.

Candidates are warned against revealing their identity by writing their Register number/ Name, or make any other sign or mark inside their answer-booklets. Any breach of this instruction is liable to be penalized with disqualification.

All candidates are required to bring their own pens and to use blue or black ink only for answering their question papers. They should not bring any text books or notes with them in the Examination Hall.

Candidates are forbidden from writing answers (or anything else) on the question paper or on the admission card.

**CANDIDATES SHOULD READ THE QUESTION PAPER AND THE INSTRUCTIONS CAREFULLY BEFORE THEY BEGIN TO WRITE THEIR ANSWERS.**

A candidate found guilty of malpractice / misconduct at or in connection with the examination will be liable to severe action under the University regulations.

If a Candidate boycott any paper / examination, it shall be at his / her / their risk.

Smoking and other intoxicants are strictly prohibited in the Examination Hall.

The candidates must necessarily number the questions, which he / she answers in the Examination.

Complaints against question-paper if any, should be submitted to the University through the Head of the Department concerned within 3 days from the date of the examination for the paper concerned, after which no complaint will be admitted.

Without the special permission of the Invigilators, no candidate may enter the examination Hall after thirty minutes from the start of the examination, or leave it within half-an-hour from the start of the examination.

No candidate may leave the desk during the last ten minutes of any examination period without the special permission of the Invigilators. At the end of the examination, candidates should remain seated at their desks until the Invigilators collect the answer books.

No book or writing paper may be taken into the examination Hall, except where prescribed within specific examination arrangements as previously notified.

Candidates are forbidden to communicate with anyone except the Invigilator during the examination.

All Court cases shall be subject to the Jurisdiction of the Annamalai University, Annamalainagar and not at any other place.

### **30.3 Instructions to Candidates (To be printed on the inner cover page of the Answer Book)**

Write and Shade your Register Number legibly in the boxes provided.

Take great care to Shade the OMR regions with blue / black ball point pen. Shade the circles corresponding to your Register Number and NOT any other.

**No Supplementary answer-books will be issued.**

Write on each ruled line on both sides of the leaf. Please do not waste pages unnecessarily.

DO NOT WRITE ANY THING AT ANY LOCATION OTHER THAN THE SPECIFIED, WHICH MAY DISCLOSE YOUR IDENTITY. Such cases will be treated as case of malpractice / unfair means.

The rough work carried out must be crossed out clearly and these will not be read by the examiner.

Write question number clearly in the left margin of answer-book.

Leave sufficient space to demark the questions after completion of answer of each question or part thereof. Write your answers on both sides of the papers.

**Bringing cell phone / programmable calculator / communication devices in the examination hall is strictly prohibited. Exam conducting authority will not be responsible for the custody of such articles. However, use of scientific calculator is permitted.**

No paper is to be brought in the examination hall for scribbling. Cases of candidates found talking or copying or using any type of unfair means in or outside the examination Halls will be dealt with in accordance with the provision of unfair means.

Do not leave the examination hall without handing over your answer book to the Hall Supervisor.

During the course of examination, the candidate shall be under the discipline and control of the Centre Chief Superintendent and shall obey all orders passed by the Superintendent on all matters relating to the examinations.

CANDIDATES SHOULD READ THE QUESTION PAPER AND THE INSTRUCTIONS CAREFULLY BEFORE THEY BEGIN TO WRITE THEIR ANSWERS.

**30.4 Instruction and Code of Conduct (ICC) for Staff on examination duty**

30.4.1 All the staff on examination duty shall wear and display their Identity Card clearly. The practice of putting the ID cards in pockets should be avoided.

30.4.2 The staff shall maintain confidentiality required of an examination related work / assignment and shall not leak any sensitive matter to any individual or public in general.

30.4.3 The staff shall not unnecessarily engage themselves in active interactions with the candidates except for a brief moment to cater to specific needs.

30.4.4 The staff shall act in a way to safeguard and securely handle all the examination related materials in their custody.

**30.5 Instructions and Code of Conduct (ICC) for Question paper-setters**

30.5.1 The Question paper setter shall decline the offer if any of his / her near relatives intends to appear at that examination in that paper. In such circumstances he / she should return the setting material immediately intimating the fact in Form-X605

- 30.5.2 The paper setter shall send the declaration in Form-X602 in the outer cover along with the Question papers set.
- 30.5.3 The Paper setter shall set the papers only on the texts and courses of study prescribed, and ensure that no question on topics not included in the prescribed syllabus is set.
- 30.5.4 The Paper Setter shall take all the necessary precaution for the maintenance of secrecy of his/her appointment and the question paper(s) submitted set by him / her.
- 30.5.5 The Paper Setter shall set the number of sets of question papers as requested, according to the prescribed pattern. The paper setters shall, if requested / indicated shall submit the Scheme of valuation and include it in the same INNER Cover. The question paper should be fairly distributed over the whole syllabus of study and not concentrated on any one or a few portions only.
- 30.5.6 The Paper Setter shall ensure the papers set carry correct name of the subject, Title and code of the paper, applicable Regulation(s). He / she shall also indicate the duration of the paper, the maximum marks allotted to each question of the paper, choice, and maximum mark of the full paper. If the question paper is common to one or more schemes / courses, it shall be clearly indicated.

- 30.5.7 The Paper Setter shall write the questions legibly in Ink or type personally, they shall avoid additions, alterations and erasures. Abbreviations are to be avoided. Special care shall be taken in the delineation of mathematical signs of index figures. He / she should workout the numerical problems before including them in question papers.
- 30.5.8 The Question Paper Setter shall indicate the permissible use of mathematical, Physical tables, Charts, data or hand books, gazettes etc. which are permitted to be used by the examinee in the INSTRUCTIONS.
- 30.5.9 The Question Paper Setter shall affix his / her signature on each page of the question paper manuscript without fail.
- 30.5.10 Paper Setter must be careful while pasting the inner cover provided by the University and affix his / her signature on the joints of the cover and fix a cellophane tape on the signatures. The Paper setter shall fill in all the details required on the inner cover. This inner cover shall be then enclosed in a cloth lined outer envelope marked “CONFIDENTIAL” and sent through Speed Post/ Registered post to the Controller of Examinations, or delivered to the COE in person.

- 30.5.11 All questions and subdivisions shall be marked clearly as per the pattern provided. Clear Instructions shall be given to the candidates regarding number of questions and the Choice.
- 30.5.12 The Paper Setters shall write the questions in the blank booklets specifically supplied for the purpose by the University or on / A4 papers. The questions should be written clearly and legibly. Sufficient space should be provided between two questions.
- 30.5.13 He / She should work out the numerical problems before including them in question papers in order to avoid wrong solutions.
- 30.5.14 The Paper setter shall preserve strict secrecy regarding the work allotted to them. Paper setter is not permitted to keep carbon copies of hand written paper. Drafts or copies of the paper set should be destroyed as soon as the papers set have been sent to the COE.
- 30.5.15 In setting question-paper, abbreviations of all kinds except those in special subjects should be avoided.
- 30.5.16 Time Schedules shall be observed in all matters. Remuneration for paper setting is subject to submission of Question Paper by due date. The paper setter shall submit the remuneration and postal expenses claim bills in the outer cover / or separately with all the details to the OCOE.

### **30.6 Instructions and Code of Conduct (ICC) for Examiners on Evaluation of Answer-scripts**

- 30.6.1 The examiners appointed for valuation of theory answer booklets shall produce the appointment letter to the custodian at the start of the valuation work.
- 30.6.2 The examiners shall maintain strict confidentiality regarding their appointment. In case any candidate, parent, guardian, teacher or any other person approaches them for favours, the matter shall be intimated to the custodian immediately.
- 30.6.3 If the examiner suspects malpractice of any kind, he shall immediately bring it to the notice of the custodian.
- 30.6.4 Valuation shall be done carefully, sincerely and objectively and verified to ensure correctness of assessment.
- 30.6.5 Discrepancy if any in the number of answer booklets or their description as compared to the legend on the cover, in which they are presented, shall immediately be brought to the notice of the custodian.
- 30.6.6 The valuation shall be done only in the notified Central valuation hall as per the timings announced and the answer booklets shall not be carried to any other location by the examiners for any reason whatsoever.

- 30.6.7 The coded Register number, Question paper code number, packet number and serial number of the answer booklets are already entered on the answer booklets and on the valuation sheets. In case of any discrepancies or omissions, the custodian shall be immediately informed.
- 30.6.8 Valuation shall be done only on the valuation sheets in blue or black ink and no marks of any kind shall be made on the answer scripts.
- 30.6.9 The examiners shall enter the marks pertaining to an answer booklet bearing a code number, carefully and correctly in the pre-coded marks entry sheet provided. Each pre-coded sheet is applicable for 20 answer scripts contained within a cover.
- 30.6.10 The total marks awarded shall be entered in figures in the space provided. Fractions if any shall be rounded off to the next higher integer. The total marks shall be checked for correctness.
- 30.6.11 If an answer is not awarded any marks, the word “Zero” shall be entered in the corresponding box.
- 30.6.12 If a question has not been attempted or answered “NA” (Not Answered) shall be entered in the corresponding box.
- 30.6.13 The examiner shall carefully check whether all questions have been answered and whether all answers have been valued.

30.6.14 The examiner shall affix his signature and write his name in capitals and date on each Marks Tabulation Form / Sheet.

30.6.15 After valuation all the answer booklets and valuation sheets shall be handed over to the custodian, before leaving the hall.

### 31) Appendix-E: Schema of Register Number & Course Code

The Register number of candidates shall be formulated based on a consistent scheme so as to avoid conflicts and scope for expansion.

#### 31.1 Register Numbers

Register Number Field Types										
Position	1	2	3	4	5	6	7	8	9	10
Type of Field	N	N	N	N	N	N	N	N	N	N

#### Explanation of the Schema:

Character Position(s)	Type of Field	Used for / Denotes	Example				
01-02	Numeric	Year in YY format	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">3</td></tr></table>	1	3		
1	3						
03-04	Numeric	Department Code	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="padding: 2px 5px;">4</td><td style="padding: 2px 5px;">5</td></tr></table>	4	5		
4	5						
05-06	Numeric	Programme Code	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="padding: 2px 5px;">0</td><td style="padding: 2px 5px;">5</td></tr></table>	0	5		
0	5						
07-10	Numeric	Candidate Number	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="padding: 2px 5px;">1</td><td style="padding: 2px 5px;">2</td><td style="padding: 2px 5px;">4</td><td style="padding: 2px 5px;">5</td></tr></table>	1	2	4	5
1	2	4	5				
<ul style="list-style-type: none"> <li>• The Candidate should fill the Register number from the left most box. No blank boxes, if any, are left at the end.</li> </ul>							

#### 31.2 Course Codes

Any Computerized system only works on a standardized code basis. A Common Course Coding System across the University has been designed and implemented for the successful adaptation of OMR enabled Answer-booklets and the related automation.

Position	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
Type of Field	<b>N</b>								

**Explanation of the Schema:**

<b>Character Position(s)</b>	<b>Type of Field</b>	<b>Used for/ Denotes</b>	<b>Example</b>		
<b>01-02</b>	Numeric	Department Code	<table border="1" style="display: inline-table;"><tr><td><b>4</b></td><td><b>5</b></td></tr></table>	<b>4</b>	<b>5</b>
<b>4</b>	<b>5</b>				
<b>03-04</b>	Numeric	Department level Programme Code	<table border="1" style="display: inline-table;"><tr><td><b>0</b></td><td><b>5</b></td></tr></table>	<b>0</b>	<b>5</b>
<b>0</b>	<b>5</b>				
<b>05-06</b>	Numeric	Semester/Year	<table border="1" style="display: inline-table;"><tr><td><b>0</b></td><td><b>5</b></td></tr></table>	<b>0</b>	<b>5</b>
<b>0</b>	<b>5</b>				
<b>07-08</b>	Numeric	Subject/Course/Paper Code	<table border="1" style="display: inline-table;"><tr><td><b>0</b></td><td><b>3</b></td></tr></table>	<b>0</b>	<b>3</b>
<b>0</b>	<b>3</b>				
<ul style="list-style-type: none"> <li>• Programme Code refers to the Degree/Diploma Programme of Study</li> <li>• Subject/Paper/Course Code refer to the specific number of the Theory/ Practical Subject of that semester/year indicated by position-<b>6</b>.</li> </ul>					

**32) Appendix-F: Forms / Proforma Relevant to University Examination**

All Forms to be used in connection with University Examinations is listed here against their corresponding Form Numbers. All Examination related forms have the Prefix “Form-X” followed by three digit numbers (for example Form-X101). The purpose / description of the forms are also provided. Principle of Numbering the Forms:

Prefix		Suffix-Position			
		1	2	3	4
Form	-	X	[N]	[N]	[N]
Position of Suffix	Alphabet/ Digit				
1	X	Denotes that the form is related to Examinations			
2	1	Candidate Related Forms			
	2 - 4	Forms used within the Office of the Controller of Examination			
	5	Forms to be Used at the Centres of Examination			
	6	Forms to be used for Communicating with External Examiners/ Paper-setters etc.			
	7	Forms to be used in matters very specific to DDE Examinations			
3 - 4	8 - 9	Miscellaneous			
	##	Serial number of the form. Maximum of 99 possible for each category of Form			

A list of Forms (not exhaustive) is given below which may keep growing or evolving following the above nomenclature.

S. No.	Form Number	Description / Purpose
1	X101	Application form for Registration in University Examination
2	X102	Duplicate Hall Ticket Request Form
3	X103	Application for Name Change / Correction in Records and Certificates

<b>S. No.</b>	<b>Form Number</b>	<b>Description / Purpose</b>
4	<b>X104</b>	Application for request of Photocopy / Re-totaling / Re-evaluation of Answer-scripts
5		
6		
7	<b>X201</b>	Form for enlisting the names of question paper setters for an examination
8		
9	<b>X203</b>	List of registered candidates for examination in each Programme
10		
11	<b>X290</b>	Recordings of the Proceeding of Examination malpractices enquiry committee
12	<b>X291</b>	Exonerated Case of Malpractices or misconduct by EMEC
13	<b>X292</b>	Malpractices/ Misconduct: Warning and Conduct Probation of candidate
14	<b>X293</b>	Malpractices : Award of Zero Marks in the Concerned Paper
15	<b>X294</b>	Malpractice/misconduct: Cancellation of all papers of current Examination of the candidate
16	<b>X295</b>	Malpractice/misconduct: Cancellation of all papers of University Examination of the candidate and debarment
17	<b>X310</b>	Central evaluation answer scripts data sheet
18		
19		
20	<b>X500</b>	Seating arrangement in examination halls

<b>S. No.</b>	<b>Form Number</b>	<b>Description / Purpose</b>
21	<b>X501</b>	Invigilators Attendance Sheet
22	<b>X502</b>	University Examination Attendance Sheet
23	<b>X503</b>	Examination hall consolidated Absentee report
24	<b>X504</b>	Programme and Subject-wise Attendance Summary for a session
25	<b>X505</b>	Answer booklet usage record in an examination session
26	<b>X506</b>	Record of Candidates temporarily absent from the Examination hall
27		
28	<b>X509</b>	Undertaking by Candidate who claims to have lost the Hall Ticket
29	<b>X510</b>	Undertaking by Candidate whose name is missing in the Attendance sheet and Provisional Permission.
30		
31	<b>X520</b>	Session Report of the Chief Superintendent(s)
32	<b>X521</b>	Label to be pasted / printed on each packet of Answer-scripts
33	<b>X523</b>	Label to be pasted on the cover of bundle with answer scripts packets
34		
35	<b>X530</b>	Report of the Hall Superintendent in cases of Malpractice / Misconduct at the University Examination
36	<b>X531</b>	Statement / Undertaking of Candidate caught indulging in malpractice / misconduct
37	<b>X532</b>	Report of the Chief Superintendent(s) on Malpractices during the Session

<b>S. No.</b>	<b>Form Number</b>	<b>Description / Purpose</b>
38		
39	<b>X539</b>	Answer-scripts Packing List for each bundle / bag / box
40	<b>X540</b>	Challan for Depositing the Answer-script Bundles at the Collection Centre / OCOE
41		
42	<b>X577</b>	Remuneration Claim Bill for Examiners
43	<b>X578</b>	Remuneration Claim Bill for Laboratory Assistants / Skilled Assistants / Viva Asst. etc.
44		
45	<b>X600</b>	Form for enrolment of External Examiners from other institutions / universities
46	<b>X601</b>	Appointment order for Question paper setting
47	<b>X602</b>	Declaration and Check List to be sent by the question paper setter
48	<b>X603</b>	Examiner Appointment order for practical examination
49	<b>X604</b>	Examiner Appointment Order for evaluation of Theory Answer scripts
50	<b>X605</b>	Form of Acceptance of Examinership / Question-paper setting etc.
51		
52		
53	<b>X608</b>	Appointment Order for Chief Superintendent
54	<b>X609</b>	Appointment Order for Hall Superintendent
55		
56		
57		

<b>S. No.</b>	<b>Form Number</b>	<b>Description / Purpose</b>
58		
59		
60		
61		
62		
63		
64	<b>X801</b>	Substitute arrangement for the assigned examination duty
65		
66		
67	<b>X901</b>	Instructions to chief superintendents of Examination centres
68	<b>X902</b>	Instructions to hall superintendents on examination invigilation duty
69	<b>X903</b>	Instructions to Examiners on central evaluation of theory answer-scripts
70	<b>X904</b>	Instruction to Examiners for conducting practical or oral examination
71	<b>X907</b>	Instructions to Candidates on Hall Ticket
72	<b>X908</b>	Instructions to candidates on answer-booklet
73	<b>X909</b>	Affirmation given by a teacher on sufficient grounds for re-evaluation of answer-script
74		
75		
76		

### 33) **Appendix-G: Examination Fees and Fines**

The prescribed fee(s) / fine(s) for various examination related purposes are listed below. All the fee that need to be paid shall be paid through online. Details are given in the University Website. All applicants must keep printout of payment receipts and examination registration form.

#### 33.1 **Fines/ Penalty**

**Monetary Penalty Units as Penalty / Fine Instrument:** Any fine may fail to serve as an effective deterrent unless it is constantly revised to keep pace with the inflation over a period of time. In order to make it very convenient to revise fines for various acts of commission / omission, the fines for such acts have been defined (Section-2.38) in terms of Monetary Penalty Units. The equivalence of the MPU in terms of Rupees can be revised whenever necessary to account of the inflationary pressure making it redundant to revise every category of fine.

As a base equivalence, 1 Monetary Penalty Unit (MPU) may be treated to be equivalent to Rs. 100/= (Rupees One Hundred).

<b>1 MPU = Rs. 100/-</b>
--------------------------

**Note:** Guidelines for the Fines related to Examination malpractice / misconduct are listed in **Section - 15**.

#### 33.2 **Fees: Common to all Programmes**

The fees common to all Programmes shall be prescribed as per procedure stipulated in the Annamalai University Main Ordinance, Part-I(V) regarding fee structure.

**Form-X103 APPLICATION FOR NAME CHANGE IN RECORDS  
AND CERTIFICATE**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Name of the Candidate (in block letters)			
Register No.		Sex:	M/ F
Programme of Study (Degree/Diploma)			
Department of Study			
Fee Details			

Tick to choose any one of the options below:

- Please make the following Corrections in the University records and the relevant documents pertaining to me.
- Please make the following Changes in the University records and the relevant documents pertaining to me.

The Document / Record in which Correction to be made	Field in which Correction is sought	Existing Entry	Revised Entry

I have enclosed the following documents in support of the above requests as required by the rules:

S. No.	Details of the Supporting document enclosed

Signature of the Student

The corrections/ changes requested by the candidate appear to be genuine. The Changes/ Corrections may be carried out after due verification of the originals of the Supporting documents and payment of the due fees.

Date:

Signature of the HOD  
Department of

**Form-X104 APPLICATION FOR PHOTOCOPY/ RE-TOTAL /  
RE-EVALUATION OF ANSWER SCRIPTS**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Name of the Candidate (in block letters)				
Student Register No.				
Programme of Study (Degree/Diploma)				
Department of Study				
Sex (Male or Female)				
Name of Examination Year/Semester				
Month of Examination				
Date of Issue of Mark sheet				
Details of Subjects(s) and paper(s) for which revaluation is required:				
Subject Code	Title of the Paper(s)	Marks Secured	Maximum Marks	For Office use only

Details of Fee Remittance

Mode of Payment	Name of Bank & Branch	Challan / DD Number	Date	Amount in Rs.
Cash	University cash Challan			
Bank DD				

Place:

Date:

Signature of Candidate

-----✂-----

Acknowledgement Slip for Photocopy / Retotal / Revaluation Request (To be filled by Candidate)	
Name	University seal
Register Number	
Number of Papers	
Amount Paid	
Date	
Signature of the person in-charge:	

**Form-X 201 ENLISTING THE NAMES OF QUESTION  
PAPER SETTERS FOR AN EXAMINATION**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

**Name of the UG/ PG/ PG-Diploma Program:**

Semester/ Year	Subject/ Course/ Paper	Subject Code	Names of the Question Paper Setters. (First/ Second/ Third Choice)	
			1.	
			1.	
			2.	
			3.	
			1.	
			2.	
			3.	
			1.	
			2.	
			3.	
			1.	
			2.	
			3.	
			1.	
			2.	
			3.	
			1.	
			2.	
			3.	

Signature of the List Maker



**Form-X290 RECORDINGS OF THE PROCEEDING OF  
EXAMINATION MALPRACTICES ENQUIRY  
COMMITTEE**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

1. Case ID. ....
  2. Roll No. & Reg. No. ....
  3. Name of Examination in which caught using unfair means.....
  4. Name of other exams in which appearing simultaneously.....
  5. Subject in which caught .....
  6. Centre Superintendent's Report
  7. Report of Examiner:
    1. Whether the material recovered was related to the subject
    2. Extent to which the candidate has used the material & advantage gained.
  8. Students statement (Student may be given chance for personal hearing if committee considers sufficient ground for such hearing)
  9. Punishment Recommended
- Signature of members of Unfair means Committee  
Submitted for approval  
Controller of Examinations  
Approved/ Returned for Review  
Vice-Chancellor

**Form-X291 MALPRACTICES/ MISCONDUCT: EXONERATED  
CASE POST-ENQUIRY BY EMEC**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Ref:

Date:

**REGISTERED/ SPEED POST**

To

Register No: ----- Case No: -----  
-----  
-----  
-----

Subject: Malpractice / Misconduct case in examination thereof.

You are informed that your case was reported for using unfair means/disorderly conduct during the following examination detailed as under:

**Examination** : ..... **Held on (Date):** .....  
**Subject/paper** : .....  
**Exam Centre** : .....  
**Exam Hall** : .....

The Vice-Chancellor has been pleased to 'EXONERATE' you from the charge of use of Malpractice / Disorderly/ Misconduct in the examination of ..... as recommended by the Examination Malpractices Enquiry Committee after the due consideration of the case.

Controller of Examination

Copy forwarded for information and necessary action:

1. The Dean, Faculty of .....
2. The Head of the Department

The candidate may be granted admission in the Department accordingly within a fortnight from the date of issue of this letter, if eligible as per rules.

**Form-X292 MALPRACTICES/ MISCONDUCT: WARNING  
AND CONDUCT PROBATION OF CANDIDATE**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Ref:

Date:

**REGISTERED/ SPEED POST**

To,

Register No: ----- Case No: -----

-----  
-----  
-----  
-----

Subject: Malpractice/ Misconduct case in examination and "Conduct Probation" thereof.

You are informed that your case was reported for using unfair means/disorderly conduct during the following examination detailed as under:

**Examination:** ..... **Held on (Date):** .....

**Subject/paper:** .....

**Exam Centre:** ..... **Exam Hall:**

.....

After considering the case, the University has decided that you must be placed under conduct probation for \_\_\_\_\_ academic year(s) (i.e. till \_\_\_\_\_). During this period your conduct will be under observation & if any matter is reported against you for using malpractice / misconduct, your case will be seriously examined by the University for necessary and appropriate action.

You are therefore warned to refrain from such activities in future.

Controller of Examination

Copy forwarded for information and necessary action:

1. The Dean, Faculty of .....
2. The Head of the Department

**Form-X293 MALPRACTICES : AWARD OF ZERO MARKS  
IN THE PAPER CONCERNED**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Ref: \_\_\_\_\_ Date: \_\_\_\_\_

**REGISTERED/ SPEED POST**

To,  
Register No: ----- Case No: -----  
-----  
-----

Subject: Malpractice case and "Zero" marks in the concerned paper.

You are informed that your case was reported for using unfair means/disorderly conduct during the following examination detailed as under:

- Examination** : .....
- held on (Date)** : .....
- Subject/paper:** : .....
- Exam Centre** : .....
- Exam Hall** : .....

After considering the case, the University has decided that your above mentioned examination be cancelled. You will be treated to have obtained "Zero" mark in this paper. Your result shall be calculated on the basis of "Zero" mark in this paper with all the subsequent consequences to follow. However, you are eligible to appear for subsequent examination and write that paper with due registration along with other regular subjects/ paper.

Controller of Examination

Copy forwarded for information and necessary action:

1. The Dean, Faculty of .....
2. The Head of the Department

The candidate may be granted admission in the Department accordingly within a fortnight from the date of issue of this letter, if eligible as per rules.

**Form-X294 MALPRACTICE/MISCONDUCT: CANCELLATION OF ALL PAPERS OF CURRENT EXAMINATION OF THE CANDIDATE**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Ref:

Date:

**REGISTERED/ SPEED POST**

To,

Register No: -----  
-----  
-----

Case No: -----

Subject: Malpractice / Misconduct case in examination cancellation of all papers of referred University Examination of the candidate thereof.

You are informed that your case was reported for using unfair means/disorderly conduct during the following examination detailed as under:

**Examination** : \_\_\_\_\_  
**Held on (Date)** : \_\_\_\_\_  
**Subject/paper** : \_\_\_\_\_  
**Exam Centre** : \_\_\_\_\_  
**Exam Hall** : \_\_\_\_\_

After considering the case, the University has decided that your above examination in full (all papers / subjects) be cancelled. If you have appeared in arrear subject(s) / paper(s) of lower examination along with the higher examination all your examinations, (lower as well as higher) held during \_\_\_\_\_ shall stand cancelled.

You are also directed to pay a fine of Rs. \_\_\_\_\_ on or before \_\_\_\_\_ However, you are eligible to appear at the examination of \_\_\_\_\_ after due registration with the required payment of fees.

Controller of Examination

Copy forwarded for information and necessary action:

1. The Head of the Department

The candidate may be granted admission in the Department accordingly within a fortnight from the date of issue of this letter, if eligible as per rules.

**Form-X295 MALPRACTICE/MISCONDUCT: CANCELLATION OF  
ALL PAPERS OF UNIVERSITY EXAMINATION OF  
THE CANDIDATE AND DEBARMENT**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Ref:

Date:

**REGISTERED/ SPEED POST**

To,

Register No: ----- Case No: -----  
-----  
-----

Subject: Malpractice / Misconduct case in examination  
cancellation of all papers of referred Examination  
and debarment thereof.

You are informed that your case was reported for using unfair  
means/disorderly conduct during the following examination detailed as  
under:

**Examination** : \_\_\_\_\_  
**Held on (Date)** : \_\_\_\_\_  
**Subject/paper** : \_\_\_\_\_  
**Exam Centre** : \_\_\_\_\_  
**Exam Hall** : \_\_\_\_\_

After considering the case, the University has decided that your above  
examination in full (all papers/ subjects) be cancelled and you are  
further debarred from appearing at any University Examinations for  
the \_\_\_\_\_ Year(s) / Semesters. If you have  
appeared in arrear subject(s) / paper(s) of lower examination along with  
the higher examination all your examinations, (lower as well as higher)  
held during \_\_\_\_\_ shall stand cancelled.

You are also directed to pay a fine of Rs. \_\_\_\_\_ on or before  
\_\_\_\_\_

Controller of Examination

Copy forwarded for information and necessary action:

1. The Head of the Department

The candidate shall be granted admission in the Department  
accordingly after the due punishment period with necessary formalities  
if eligible as per rules.

**Form-X310 CENTRAL EVALUATION ANSWER SCRIPTS DATA SHEET**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Name of the Programme:		Semester/			
Examination Month:		Year:			
<b>Subject/Course</b>	<b>Course Code</b>	<b>Packet Number</b>		<b>Number of Answer Scripts</b>	<b>Signature of Examiner</b>
		<b>From</b>	<b>To</b>		

**Form- SEATING ARRANGEMENT  
X500 IN EXAMINATION HALLS**



**ANNAMALAI  
UNIVERSITY  
Annamalainagar**

**Examination**  
**Date of**  
**Examination FORE NOON /**  
**Session: AFTER NOON**

Row	COLUMNS IN THE ROOM									
No.	1	2	3	4	5	6	7	8	9	10
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										

**Form-X502 EXAMINATION ATTENDANCE STATEMENT OF CANDIDATES**



**ANNAMALAI UNIVERSITY**  
**Annamalainagar**

Examination		Date:		Hall / Room No:	
Session (FN/AN):		Subject/Paper			

*Note: All Allotted Register Numbers in the Hall to be entered in the proper order including absentees*

Register Number	Name	Answer- booklet Number	Sem. /Year	Signature
Number of Absentees in this sheet: (In Figures) _____ (In Words) _____		Sheet No: _____ of _____		

Signature of the Hall Superintendent

**Form-X503 EXAMINATION HALL CONSOLIDATED ABSENTEE  
REPORT**



**ANNAMALAI UNIVERSITY**  
**Annamalainagar**

**(To be filled after 30 minutes of the start of examination)**

Name of Centre : .....

Hall No : .....

Date of Examination: .....

Session : Forenoon / Afternoon

Examination (e.g.: B.E. 3 Semester)						
Total Candidates Assigned						
Candidates Present						
Candidates Absent						

*Note: Please Provide the Absentee Register numbers on the Reverse and sign below it.*

Signature of the Hall Superintendent

**Form-X504 PROGRAM AND COURSE-WISE ATTENDANCE  
SUMMARY FOR A SESSION**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

*(To be sent to the COE after each session)*

Examination Centre:					
Date of Examination:		Session of Examination:	Forenoon / Afternoon		
Degree / Diploma	Year / Semester	Course	Number of Candidates		
			Total	Present	Absent
PAGE TOTAL					

Signature of the Chief Superintendent(s):





**Form-            LOSS OF HALL TICKET – AD HOC PERMISSION TO  
X509            APPEAR IN THE EXAMINATION OF THE DAY &  
                          UNDERTAKING BY THE STUDENT**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

To  
The Controller of Examinations

**Undertaking**

I, ..... (name) have lost / misplaced my Hall Ticket issued by the University for the current examination being held in .....(month) ..... (Year). I furnish the following details about my enrollment in this University.

Name	:				
Register Name	:		Semester/Year:		
Programme of Study	:				
Subject of Examination	:				
Centre	:		Hall No:		Date:

I undertake that in the event it is found that I do not have a valid registration for appearing at the said examination, my answer scripts shall be summarily discarded and I shall not claim that my answer script be evaluated and credit given to me for this examination.

I understand clearly that this examination will be automatically be annulled /cancelled if it is found that the facts have been represented wrongly or that I have not been issued the Hall ticket by the University for this Examination due to valid reasons. I also undertake that in such an event I will not claim any compensation from the University.

I request you to kindly permit me to appear for today's examination.

(Signature of Student)

Remarks of the Chief Superintendent: *(The credentials of the candidate be verified and a check should be made if his register number appears in the attendance register for that session of day)*

Signature of Chief Superintendent

***This Undertaking should be handed over to the Hall Superintendent of the Hall/Room in which the candidate takes the examination. The Hall Superintendent should Handover this over to the Chief Superintendent at the end of the Examination session of the day.***

**Form-X510 REGISTER NUMBER MISSING IN ATTENDANCE  
REGISTER - REQUEST FOR PERMISSION TO APPEAR  
IN THE EXAMINATION OF THE DAY &  
UNDERTAKING BY THE STUDENT**



**ANNAMALAI UNIVERSITY**  
**Annamalainagar**

To  
The Controller of Examinations

**Undertaking**

I state and declare as follows:

That I have applied for registration to appear at the Examination

.....

That I do not have any proof to claim for appearing at the said examination.

That I am told that Examination Centre .....  
does not have my name in the Roll List / Attendance Sheet. I understand that I  
am not eligible to appear for the said examination under these circumstances. I  
furnish the following details about my enrollment in this University.

Name	:				
Register Name	:			Semester/Year:	
Programme of Study	:				
Subject of Examination	:				
Centre	:			Hall No:	
				Date:	

I undertake that in the event it is found that I do not have a valid registration for appearing at the said examination my answer scripts shall be summarily discarded and I shall not claim that my answer script be evaluated and credit given to me for this examination. I understand clearly that this examination will automatically be annulled / cancelled if it is found that the facts have been represented wrongly by me.

I request you to kindly permit me to appear for today's examination.

(Signature of Student)

Remarks of the Chief Superintendent: *(The credentials of the candidate be verified to the best possible extent including a check of his register number in the attendance register for that session of day)*

Signature of Chief Superintendent

***This Undertaking should be handed over to the Hall Superintendent of the Hall/Room in which the candidate takes the examination. The Hall Superintendent should Handover this over to the Chief Superintendent at the end of the Examination session of the day.***

**Form X 520 Session Reports of Chief Superintendent(s)**



**ANNAMALAI UNIVERSITY**  
Annamalainagar

Date :  
Session: Fore Noon/After Noon

Centre:

Name of Chief Superintendents

- 1.
- 2.
- 3.

Code of the University Seal Used ( <b>Circle</b> the appropriate Code Number of Seal)	<b>TRIANGLE</b>	<b>OVAL</b>	<b>CIRCLE</b>	<b>RECTANGLE</b>	<b>PENTAGON</b>
---	-----------------	-------------	---------------	------------------	-----------------

Alphabet Seal Used for the Session	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z
S. No.	Name of Examination/ Program of Study (with Year/ Semester)	Subject / Paper	Subject Code	No. of Halls	No. of Total Candidates	No. of Candidates Present	No. of Candidates Absent	No. of Packets	Malpractice/ Misconduct Cases																	
1.																										
2.																										
3.																										
4.																										
5.																										
6.																										
7.																										
8.																										
9.																										
Signature of Chief Superintendent(s):		1.	2.	3.						Page ____ of ____																

**Form-X521**

**ANSWER SCRIPTS COVER OR PACKET LABEL**

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**ANNAMALAI UNIVERSITY**

**Annamalainagar**

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**(To be printed or pasted on the cover or packet containing  
answer-scripts)**

Name of Centre: ..... Code: .....

Name of Examination: .....

Subject: .....

Subject Code: .....

Total no. of Answer-books Packed: ..... (in words)

.....

Date of Examination: .....

Serial Number of this Packet: ..... / Total Packets for the Subject  
or Paper: .....

Signature of the Chief Superintendent of the Center

**Form-X523 LABEL TO BE PASTED ON THE COVER OF BUNDLE  
WITH ANSWER SCRIPTS PACKETS**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

**(To be pasted on the outer envelope containing  
answer book packets)**

Name of Centre Code: .....

Code: .....

Name of Examination:

.....  
.....

Subject: .....

Subject Code: .....

Total no. of Answer-books Packed: ..... (in  
words).....

.....  
.....

Number of Answer book Packets: ..... (in words)

.....  
.....  
.....

Date of Examination: .....

Signature of the Chief Superintendent of the Center

**Form-X530 REPORT OF MALPRACTICE/ MISCONDUCT AT THE  
UNIVERSITY EXAMINATIONS**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Name of the Centre: ..... Hall/Room No:  
.....

Time of detection of Unfair means: ..... Date of Examination and  
Session: -----

Subject of Examination: .....  
Semester.....

Name of the Candidate: ..... Registration No:  
.....

Programme: ..... Department of Study: .....

The exact place / places from where the incriminating material was recovered:  
.....

Particulars of the incriminating material recovered from the candidate  
( if the incriminating material consists of writing on walls, desks, body of the  
candidate etc. a digital photograph may be taken and the file submitted.)

If the candidate is guilty of misconduct, give details here

.....  
.....  
.....

Name of the Invigilator who detected the unfair means  
.....

Report of the Invigilator(s) (if the space provided is not sufficient, it may be  
written on the other side of this Paper)

Signature of the  
Student

Signature of the Invigilator /  
Hall Superintendent

Signature of the  
Chief Superintendent

**Form-X531 STATEMENT OF CANDIDATE CAUGHT INDULGING IN MALPRACTICE/ MISCONDUCT DURING THE EXAMINATION**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Name		Reg. Number	
Subject		Programme	
		Semester/Yr	
Hall No.		Date	

**To**

The Controller of Examinations,  
Annamalai University, Annamalainagar.

**Sir,**

I,.....  
(Details given above) understand that I have been caught involved in an alleged Malpractice/ Unfair Means in the Examination Hall and therefore, a case against me is being reported to the University. In this circumstance, I give my statement/ explanation as follows:

.....  
.....  
.....  
.....  
.....

I also hereby agree that in the event of myself being found guilty at the time of investigation of the said case, my performance at the examination to which I have been permitted to appear provisionally upon my special request, is liable to be treated as **null and void**.

Time & Date:

Signature of Candidate

.....  
.....

**Hall Superintendent  
Centre**

**Chief Superintendent of the**

**Seal of the Institution / University**

**Date:** .....

**Form-X539 ANSWER-SCRIPTS PACKING LIST FOR EACH  
BUNDLE/ BAG/ BOX**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

*Note: One packing list shall be submitted for each bundle/ bag/ box.*

Name of the Examination: MAY/ JUNE/ NOV/ DEC/

Name of the Examination Centre: \_\_\_\_\_ Date: \_\_\_\_\_

Bundle/ Bag/ Box Number: \_\_\_\_\_ Total No. of Packets in the Bundle/  
Bag/ Box: \_\_\_\_\_

Sl. No.	Subject	Subject Code	No. of Packets	No. of Scripts
TOTAL				

Signature of the Centre Superintendent(s)

**Form-X540 CHALLAN FOR DEPOSITING THE ANSWER SCRIPTS**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

1. Name of Examination Centre:

\_\_\_\_\_

2. Answer Scripts to be deposited at Collection Centre: \_\_\_\_\_

3. Details of vehicle in case the packets are being collected by authorized university vehicle:

Vehicle Number	Name of the Driver

4. Total Number of Bundles/ Boxes: \_\_\_\_\_ (in words→) \_\_\_\_\_

5. Total Number of Answer-scripts: \_\_\_\_\_ (in words→) \_\_\_\_\_

6. It is certified that these packets contain answer books of university examinations. The packets are of confidential nature and should not be opened by anybody other than the addressee under any circumstances.

**Signature of Examination Centre Chief Superintendent(s)**

Signature of Recipient: \_\_\_\_\_ Name: \_\_\_\_\_

Designation: \_\_\_\_\_ Date & Time: \_\_\_\_\_

(The Office of COE / Collection Centre Superintendent should verify the credentials of the person from the identification documents sent to the centre by the University).

**Remarks, if any:**

**Office of COE/ Collection Centre Superintendent with seal.**

**Date:**

**Time:**

**Form-X600 FORM FOR ENROLLMENT OF EXTERNAL EXAMINER(S) FROM OTHER INSTITUTIONS / UNIVERSITIES**



**ANNAMALAI UNIVERSITY**  
**Annamalainagar**

*(Photocopies of the Form may be used for submission)*

Basic Information	
Name :	
Designation:	
Official Address:	
email ID:	
Mobile No.:	

Academic Qualifications			
Degree	Year	Division	Institution / University
Remarks if any			

Teaching/ Academic Experience					
UG:		PG Diploma:		PG:	
Subjects Taught in last Five Years					
Signature of the Teacher			Signature of the Head of the Institute		
Date:			Seal:		

**Form-X601 APPOINTMENT ORDER FOR QUESTION PAPER  
SETTING**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

Ref No.:

Date:

To

Dear Sir/ Madam,

Subject: Question paper setting for the University Examination as given below. Annamalai University, Annamalainagar is pleased to appoint you as the question paper-setter / examiner in the following, subject to declaration as per Form-X602 enclosed herewith.

Examination:

Subject:

Subject Code:

No. of Sets:

Last Date:

Scheme of

REQUIRED IN ONLY OUTLINE

Evaluation:

DETAIL / REQUIRED /

NOT REQUIRED

In case you do NOT agree to accept this offer, kindly return the entire material immediately assigning the reason to the Controller of Examinations in Form-X605. Otherwise, kindly send your consent / acceptance of the offer in Form-X605 at the earliest before you initiate the work of setting the question paper assigned to you. In order to enable you to set the question paper, the following materials are sent herewith:

1. A copy of the relevant syllabus of the subject.
2. A copy of an earlier question paper/ pattern for the question paper.
3. Instructions to follow in setting the question paper.
4. Printed Inner Cover & Printed Outer Cover

Kindly read the enclosed Instructions carefully before you start setting the questions.

Kindly fill all the details on the Inner and Outer Covers before you dispatch them.

Kindly ensure that question paper envelope, marking instructions envelope, and outer envelope are pasted and sealed properly. Unsealed question paper will not be accepted. The Remuneration for Paper Setting is Rs. \_\_\_\_\_ /- for each set.

Yours truly,

Controller of Examinations

**INSTRUCTIONS AND RULES REGARDING THE**  
**QUESTION PAPER SETTING**

- The Question Paper Setter shall decline the offer if any of his / her near relatives intends to appear at that examination in that paper. In such circumstances he / she should return the setting material immediately intimating the fact in Form-X602
- The Paper Setter shall send the declaration in Form-X605 in the outer cover along with the Question papers set.
- The Paper setter shall set the papers only on the texts and courses of study prescribed, and ensure that no question on topics not included in the prescribed syllabus is set.
- The Paper Setter shall take all the necessary precaution for the maintenance of secrecy of his / her appointment and the question paper(s) submitted set by him / her.
- The Paper Setter shall set the number of sets of question papers as requested, as per the prescribed pattern. He / She shall, if requested / indicated shall submit the Scheme of valuation and include it the same INNER Cover. The question paper should be fairly distributed over the whole syllabus of study and not concentrated on any one or a few portions only.
- The Paper setter shall ensure that the papers set by him / her carry correct name of the subject, Title and code of the paper, applicable Regulation(s). He / she shall also indicate the duration of the paper, the maximum marks allotted to each question of the paper, choice, and maximum mark of the full paper. If the question paper is common to one or more schemes / courses, it shall be clearly indicated.
- The Paper Setter shall write the questions legibly in ink or type personally. They shall avoid additions, alterations and erasures. Abbreviations are to be avoided. Special care shall be taken in the delineation of mathematical signs of index figures. He / she should workout the numerical problems before including them in question papers.
- The Question Paper Setter shall indicate the permissible use of Mathematical, Physical tables, Charts, Data or Hand books, Gazettes etc. which are permitted to be used by the examinee in the INSTRUCTIONS.

- The Question Paper Setter shall affix his / her signature on each page of the question paper manuscript without fail.
- The Question Paper Setter must be careful paste the inner cover provided by the University and affix his / her signature on the joints of the cover and fix a cellophane tape on the signatures. The Paper setter shall fill in all the details required on the inner cover. This inner cover shall be then enclosed in a cloth lined outer envelope marked “CONFIDENTIAL” and sent through Speed Post / Registered post to the Controller of Examinations, or delivered to the COE in person.
- All questions and subdivisions shall be marked clearly as per the pattern provided. Clear Instructions shall be given to the candidates regarding number of questions and the Choice.
- The paper setters shall write the questions in the blank booklets specifically supplied for the purpose by the University or on / A4 papers. The questions should be written clearly and legibly. Sufficient space should be provided between two questions.
- He / She should work out the numerical problems before including them in question papers in order to avoid wrong solutions.
- The Paper setter shall preserve strict secrecy regarding the work allotted to them. Paper setter is not permitted to keep carbon copies of hand written paper. Drafts or copies of the paper set should be destroyed as soon as the papers set have been sent to the COE.
- In setting question-paper, abbreviations of all kinds except those in special subjects should be avoided.
- Time Schedules shall be observed in all matters. Remuneration for paper setting is subject to submission of Question Paper by due date. The paper setter shall submit the remuneration and postal expenses claim bills in the outer cover / or separately with all the details to the OCOE.

**Controller of Examinations**

Annamalai University

**Form-X602      DECLARATION AND CHECK LIST TO BE SENT BY  
THE QUESTION PAPER SETTER**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

From (Official Address)

	Name of the Program	:	
	Semester/ Year	:	
	Subject Code	:	
	Subject:		

I, \_\_\_\_\_ declare/ certify  
that:

- The question paper has been typed by me personally.
- I have very carefully gone through the syllabus prescribed for the examination for which the paper has been set by me. The paper set does not include any question, which is outside the scope of the syllabus.
- The questions are distributed evenly over the whole syllabus.
- The question paper has been set on the basis of the model question paper and pattern provided.
- Detailed distribution of marks for different parts of each question has been given in the question paper.
- I have destroyed all drafts, notes etc., of the questions set, and have retained no copy of the paper with me.
- I agree to maintain secrecy related to this question paper and that I shall not reveal any question or part thereof to anyone.

Check List (to be filled)	
Question Paper(s)	
Key/ Scheme of Evaluation	
Remuneration claim bill	
Postal Bill	
This Declaration	

Signature of the Paper setter

Station:

Date:

**Form-X603 EXAMINER APPOINTMENT ORDER FOR  
PRACTICAL EXAMINATION**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

**Dr.**  
Controller of Examinations

Date:

Ref No.:

Date:

To

Dear Sir/ Madam,

Subject: \_\_\_\_\_ Practical Examination – Appointment of  
Examiners – Reg.

I am to inform you that you have been appointed as an examiner for conducting Practical Examination for the following examinations held in \_\_\_\_\_. In case any of your near relatives are appearing for these examinations, kindly inform the same in the Acceptance-declaration Form enclosed herewith (Form-605).

Kindly send your acceptance immediately. In case, you are not able to accept the offer please inform me immediately, so as to make alternate arrangements. I request you to make it convenient to conduct the Practical Examination on the dates mentioned in the scheme.

Subject(s)	Date	Time

Yours sincerely,

Controller of Examinations

Encl: Acceptance cum Declaration Form (Form-605)

Copy to:

Professor and Head, Department of \_\_\_\_\_

**Form-X604**

**EXAMINER APPOINTMENT ORDER FOR  
EVALUATION OF THEORY ANSWER SCRIPTS**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

**Dr.**  
Controller of Examinations

Date:

Ref No.:

Date:

To

Dear Sir/ Madam,

Subject: \_\_\_\_\_ Theory Evaluation – Appointment of  
Examiners – Reg.

I am to inform you that you have been appointed as an examiner for evaluating Theory Answer scripts for the following examinations held in \_\_\_\_\_. In case any of your near relatives are appearing for these examinations, kindly inform the same in the Acceptance-declaration Form enclosed herewith (Form-605).

Kindly send your acceptance immediately. In case, you are not able to accept the offer please inform me immediately, so as to make alternate arrangements. I request you to make it convenient to attend the Central Evaluation of Theory answer scripts on the dates mentioned in the scheme.

Subject(s)	Date	Time

Yours sincerely,  
Controller of Examinations

Encl: Acceptance cum Declaration Form (Form-605)

Copy to:

Professor and Head, Department of \_\_\_\_\_



**Form-X608      APPOINTMENT ORDER FOR CHIEF  
SUPERINTENDENT OF THE ON-CAMPUS  
EXAMINATION CENTRE**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

**Dr.**  
Controller of Examinations

Ref No.:  
Date:

To

\_\_\_\_\_

\_\_\_\_\_

Dear Sir/ Madam,

Subject: Examinations for On-Campus Programs \_\_\_\_\_

Appointment of **Chief Superintendent** – Reg.

I am to furnish the scheme of duty as Chief Superintendent for the above mentioned Examination. The examinations commence at 9:30 am in the Forenoon and 2:00 pm in the Afternoon. You are requested to be present at the Control Room of the centre at least 45 minutes before the start of examination. Remuneration shall be paid as per the prevailing rates prescribed by the University.

Examination/ Invigilation duty is obligatory and no exemption will be given. Priority should be given for examination / invigilation work and if there is any class on the dates of duty assigned, alternative arrangement should be made for such classes under intimation to the Head of the Department. If you are unable to attend the duty due to unavoidable circumstances, you should arrange to send a substitute (of suitable rank) with his / her consent in Form-801 through the respective Head of the Department.

You are requested to oversee the invigilation to be effective and any complaints noticed may be brought to the notice of the Controller of Examinations.

Please read the duties and responsibilities of the Chief Superintendent are printed overleaf.

Exam Centre:		Control Room No.:	
Date:		Session:	FN / AN
Reporting Time:			

Yours sincerely,

Controller of Examinations

Encl: Acceptance cum Declaration Form (Form-801)  
Through the concerned Head of the Department

**Form-X609 HALL SUPERINTENDENT APPOINTMENT ORDER FOR EXAMINATION INVIGILATION DUTY**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

**Dr.**  
Controller of Examinations

Ref No.:

Date:

To

Dear Sir / Madam,

Subject: Examinations for On-Campus Programs \_\_\_\_\_  
Appointment of Hall Superintendent for Invigilation duty –  
Reg.

I am to furnish the scheme of duty as Hall Superintendent for the above mentioned Examination. The examinations commence at 9:30 am in the Forenoon and 2:00 pm in the Afternoon. You are requested to be present at the Control Room of the centre at least 45 minutes before the start of examination. Remuneration shall be paid as per the prevailing rates prescribed by the University.

Invigilation duty is obligatory and no exemption will be given. Priority should be given for examination / invigilation work and if there is any class on the dates of duty assigned, alternative arrangement should be made for such classes under intimation to the Head of the Department. If you are unable to attend the duty due to unavoidable circumstances, you should arrange to send a substitute (of suitable rank) with his / her consent in Form-801 through the respective Head of the Department.

You are requested to oversee the invigilation to be effective and any complaints noticed may be brought to the notice of the Controller of Examinations.

Please read the duties and responsibilities of the Hall Superintendent printed in brief overleaf.

Exam Centre:		Control Room No.:	
Date(s):		Session:	FN / AN
Reporting Time:			

Yours sincerely,  
Controller of Examinations  
Through the concerned Head of the Department

**Form-X801      SUBSTITUTE ARRANGEMENT FOR THE ASSIGNED  
EXAMINATION DUTY**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

From

Date:

Dear Sir/ Madam,

Subject: Examinations for On-Campus Programs \_\_\_\_\_  
Substitute Arrangement for Invigilation Duty /  
Chief Superintendent

Ref: Your Order

I have been assigned examination duty as given below. Since I am unable to attend to the duty due to unavoidable circumstances, I wish to make substitute arrangement to perform the duty / duties assigned to me.

Mention the Reason Briefly:			
Examination Centre:			
Date(s)	Time/ Session	Name and Designation of the Substituting Person	Signature of Person(s) willing to Substitute

Thanking You,

Yours Sincerely,

**Form-X901 INSTRUCTIONS TO CHIEF SUPERINTENDENTS OF EXAMINATION CENTRES**

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**ANNAMALAI UNIVERSITY**  
**Annamalainagar**

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*(To be printed on the reverse of the Appointment Order)*

- The Chief Superintendent(s) shall be responsible for the proper and smooth conduct of examinations at his / her / their centre. He / She has to take all necessary action before, during and after the examination for the smooth conduct of examination and dispatch of answer-booklets promptly to the office of COE.
- The CS shall arrange to prepare a 'Session Report' of candidates present during the examination session at his / her centre in Form-X520 for each Programme of study and each course of examination and forward the same to the COE.
- The CS shall make sure that as far as possible the Hall Superintendents are allotted Halls at random and that no Hall Superintendent shall have prior information of the Hall to which he / she shall be posted.
- The CS is to address all the HSS prior to the commencement of examination and remind them of their duties and responsibilities. He / She shall particularly impress upon them the need to prevent malpractices by scrupulous observation of rules. He / She shall also explain to the supervisory staff the procedure of reporting when a case of malpractice is detected.
- The CS should not leave the Centre of Examinations during the period of examination without the prior permission of the COE. In case of emergency, he / she shall make arrangements for the proper conduct of examinations by entrusting the responsibility to an eligible member of faculty, and report the arrangements made to the COE and obtain approval, before leaving the centres of examination.
- The CS shall ensure that the question paper packets for each hall is sealed and not tampered with before handing it to the Hall Superintendent prior to the Examination session not earlier than half an hour.

- The CS is to collect back the undistributed question papers from examination halls at the end of the examination session along with the Answer scripts.
- The CS shall attempt to resolve any serious misprint, wrong code, mistranslation, omissions, ambiguity, etc., noticed or reported to him in the question papers by referring to the original scripts of the respective question paper and shall not, on his own account or at the instance of any other person, give any clarification, unless it is a clear case of misprint apparent on the face of it. Serious disparity in the question paper shall be immediately report to the COE by phone and the issue resolved according to his instructions.
- The CS has to see that only candidates with valid Hall tickets issued by the University are allowed to take examination. If a candidate has lost the Hall ticket, the Chief Superintendent shall arrange to issue ad hoc one-session conditional permission in the prescribed form (Form-X509) after verification of his credentials such as Student ID and getting an undertaking from the candidate in Form-X509.
- The Chief Superintendent has to ensure the ringing of bells to announce the examination timings as per Section-13.
- In case of any major law and order problem at the centre, He / She shall immediately contact the COE and other appropriate authorities of the university to seek help in resolving the issue and maintain law and order during the period of examination
- The Chief Superintendent shall take action against an examinee indulging in malpractice or attempting to use unfair means in the examination hall or within the premises of the examination centre. All malpractices shall be reported and shall be handled as per the guidelines given in the Examination Malpractice Handling guidelines.
- All the answer-booklets confiscated in malpractice cases during the examination session should be packed separately in one bundle and marked “**Malpractice Case**” on the label. Such answer-booklets shall NOT be mixed with the regular answer-booklets.
- The CS shall sign all relevant records such as invigilators attendance sheet, subject wise written Answer Booklets, consolidated examinee absent lists, remuneration acknowledgement sheet etc., concerning the session of examination.

**Form-X902**

**INSTRUCTIONS TO HALL SUPERINTENDENTS ON  
EXAMINATION INVIGILATION DUTY**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

- The Hall Superintendent (HS) has to report to the Chief Superintendent (CS) at least 45 minutes before the commencement of the examination on the first day, and 30 minutes before on successive days / sessions of examinations at the Control room. The HS should affix his signature in the Duty Attendance Sheet of the session and wait for the allocation of the examination hall and the issue of the question paper packet for the hall.
- On allocation of the examination hall at the Control room, the HS is to go to the examination hall allotted at least 10 minutes before the commencement of the examination with relevant examination materials and ensures that no unwanted things are found in the hall.
- The HS must remain in the examination hall for the entire period of examination. He / She is advised to keep constant vigil on the examinees in the hall.
- The candidates shall be admitted into the examination hall 10 minutes before the commencement of the examination. The HS shall announce to the candidates to leave the books, papers and other reference materials etc., outside the examination hall.
- The HS should read out the warning note: “You should follow the instructions printed on the hall ticket and on the facing and last sheet of the answer-booklet. You should search your pockets, desks and tables and handover to the Room Superintendent any paper / book / notes / manuscripts / photocopies / electronic gadgets which you may find there and close surroundings, before receiving the question paper in hand”.

- The HS should warn the candidates about the possession of Mobile phones, digital equipments and other electronic gadgets except a simple wrist watch. The candidates should be advised to submit the same to the HS if they have mistakenly brought to the examination hall.
- If any student has not brought his / her Hall Ticket and Identity Card, the matter shall be brought to the notice of the CS for issuing provisional permission after the candidate give due undertaking in Form-X509 in exceptional circumstances after verifying the identity of the candidate.
- The HS shall ensure that candidates take their seats before the commencement of examination even though the candidate may be allowed to enter the examination hall up to half an hour from the commencement. No candidate is allowed to enter the examination hall after the first 30 minutes for whatever reason.
- The HS shall instruct the Hall Assistant to distribute the Answer Booklets Ten minutes before the commencement of examination, only to those candidates who are seated in the allotted places.
- The HS shall distribute the question papers to the candidates seated only after the commencement bell of the examination is given.
- If candidates raise point / query requiring clarification on question paper which cannot be dealt with by the HS, he / she has to notify the Chief Superintendent who will endeavour to obtain and convey the necessary information to the candidates. If the matter cannot be resolved by the CS, the COE Office must be informed immediately to resolve the issue. The HS shall not advise on meaning or interpretation of questions on their own.
- The HS shall affix his signature at the appropriate place on the first page of the Answer Booklet only after checking the identity of the candidate with the photo on ID Card and also ensuring that the Candidate has written the correct Register number, Programme, Course title, date of examination, etc., in relevant fields of the first page of the Answer Booklet including proper shading of the OMR region with ink. He / She shall also secure the signature of the candidates in the attendance sheet(s) provided for the hall.

- The HS has to mark the absentees only after the first 30 minutes of commencement of examination. A consolidated statement of the number of candidates present, absent, and the register numbers of the absentees shall be prepared in Form-X503.
- The HS should NOT allow any candidate to leave examination hall for any purpose within the first half an hour of the commencement of examination.
- After half an hour of the commencement of the examination (the third bell), the spare Answer Booklets shall be returned to the Control Room through their Representative on his / her visit to the examination hall along with the Consolidated Attendance Statement for the Hall (Form-X503).
- The HS shall NOT accept the Answer script of any examinee without ensuring that it bears his / her University Register number, other information asked on the title page of the Answer Booklets and that the blank pages in the Answer Booklet are struck out by the examinee with pen.
- The HS shall remain alert in the examination hall and shall attend to the requests of the candidates for supply of the graph sheets & other relevant material through the Hall Assistant.
- All Hall Superintendents are expected to remain in the hall for the entire duration of the examination. In the eventuality that the HS must leave the room in order to clarify a question or other emergency, it shall be made sure that there is at least one HS is present in the hall. Such absences must be kept to a minimum and wherever possible.
- The candidate going for toilet should be escorted properly; however frequent use of toilet by the candidate should be discouraged. No student will be allowed to go to toilet in the first half an hour and in the last half an hour. Such short absences from the hall shall be recorded in Form-X506 and signed by the examinee.
- Whenever the warning bell sounds every half an hour, the HS shall alert the examinees about the time remaining for the examination session.

- Whenever a University appointed Observer makes a surprise visit, the HS shall ensure their identity and allow entry to the examination hall for surprise check.
- The HS shall ensure that, there is no communication among the candidates in the examination hall. The Hall Superintendent shall not allow the candidate to use unfair means in the examination hall. Smoking, chewing tobacco / paan etc. is strictly prohibited in the examination hall while the examination is in progress.
- The invigilator should report to the Centre Superintendent the cases of insolent, indecent, undisciplined and undignified behaviour of candidates. The Centre Superintendent should act as per the prescribed procedure and take appropriate action under the relevant rules in *Section 15*.
- While going rounds in the examination hall, if the HS notices any candidate indulging in copying or possessing a manuscript or Answer Booklet other than that of the candidate, any written material on calculator/ geometry box / scale, he / she shall immediately take in his/ her possession the candidate's Answer Booklet, question paper, and the materials which he / she has used or intended to use for copying and immediately report to the Chief Superintendent. He should not allow the candidate to leave the examination hall till the Chief Superintendent comes to the examination hall and takes over the charge. The candidate should be handled as per the rules.
- The HS should not tamper the Answer Booklets issued to the candidates for any reason whatsoever. Malpractices are recorded in the appropriate form (Form-X530) along with a statement from the candidate (Form-X531) in the presence of the Chief Superintendent.
- The Hall Superintendent shall arrange the written Answer scripts returned by the candidates at the end of the examination in proper order for each course and Programme and tally the same with the attendance of the candidates. He / She shall be responsible for the safe possession of all collected scripts till they are handed over to the designated staff in the Control Room. The receiving staff shall receive the Answer scripts after due verification and tally them with the attendance.

- The HS should not leave the Examination Centre premises until, he/she personally hands over the Answer Booklets and other materials at the Control Room to the designated staff.
- Where candidates wish to leave an examination early because they are extremely sick / distressed, the HS may request the Chief Superintendent to make arrangements to escort the sick candidate to the University Hospital with necessary transport arrangement with the help of the supporting staff in the control room.
- Answer Booklets Confiscated due to unfair and malpractice of the candidates shall be handed over separately without mixing them with the regular answer booklets.
- The HS shall approach the Chief Superintendent to affix his / her signature on remuneration acknowledgement sheet in duplicate after handing all the answer booklets and other relevant materials such as excess question papers etc. Having completed the duty for that session, the HS can then leave the examination centre premises.

**Form-X903**

**INSTRUCTIONS TO EXAMINERS ON CENTRAL  
EVALUATION OF THEORY ANSWER-SCRIPTS**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

- The Examiner shall maintain strict confidentiality regarding his/her appointment and work in connection with the examination.
- Each Examiner shall report to the Custodian of Central Valuation Centre concerned allotted to him / her with the appointment letter from COE and register their presence and acceptance of the Answer-booklet packets / covers in the appropriate Form-X310 which may be bound in a booklet and affix their signature.
- The Examiner is required to be present in the evaluation for at least 3 hours on the day of evaluation as notified.
- The Examiners shall NOT evaluate the answer papers not related to his / her subjects. If by any chance, the wrong subject has been assigned to the examiner, he shall indicate the same and decline the offer. He shall NOT accept an offer that is NOT related to his subject / expertise / knowledge domain. The scheme of evaluation, if any, shall be supplied to the Examiners before the commencement of evaluation.
- The Examiner is advised to avoid the use of mobile phone within the evaluation valuation hall. He / She is required to keep the phone either in switch off mode or silent mode.
- On the day of commencement of valuation, sufficient time shall be utilized for discussion with regard to filling of OMR marks sheet and shading and other related valuation guidelines and regulations concerning the University examination.
- The Examiner has to count the number of answer scripts in the packet and make sure it tallies with the claim on the Packet Cover. The Examiners must make sure that Dummy Number printed on the

answer-booklet and OMR sheet are the same and shall not value the packets in case of any discrepancy. Discrepancies, if any, should be brought to the notice of the Chairman, BOE through the Custodian immediately.

- The Examiner shall assess the answer scripts assigned to them and write the marks legibly in red ink on the front page of the answer book in the space provided. Under no circumstances the Examiners shall write the marks elsewhere on the body of the answer book or otherwise as per the instructions issued to that effect by the COE. from time to time.
- The marks awarded for each question shall be entered in the appropriate row & column on the mark-table on the Front Page of the Answer-booklet. The total marks shall be rounded off to the next integer and entered both in figures and words with his / her signature. The examiners shall write 'ZERO' wherever answers do not deserve any marks.
- If a candidate has attempted more questions or more sub-questions than he / she is required to answer, all the questions shall be assessed and the marks of all questions shall be entered on the front page of the answer book. While totalling however, the marks only of the maximum number of questions including the compulsory question(s), if any, he is required to answer shall be taken into consideration, and out of the marks assigned to additional question(s) attempted by him / her, the lowest number of marks given to any question(s) except compulsory question(s) if any shall be left out in totaling and shall be denoted on the front page of the answer book by drawing a circle around the entry / entries of marks assigned to such additional question(s).
- A Separate mark list shall be prepared for each packet in the case of OMR answer-scripts. The marks shall be entered against their corresponding code numbers in the marks list. Marks lists shall be prepared with ball point pens in blue / black ink.

- The examiner shall ensure that no answer or part of any answer is left out in valuation. The examiners should read the answer script in detail and evaluate the scripts. Examiners shall verify the marks in the marks list and the total they assigned in the answer book and make sure of the correctness of the entries, before the answer scripts are delivered to the University.
- The examiner shall not take the answer scripts outside the valuation centre under any circumstances.
- If the examiner, during valuation of the scripts, suspects any case of malpractice, he / she shall immediately report it to the Chairman of BOE through the Custodian. He/she shall submit the suspected script after valuing it fully along with his/her report to the Chairman of BOE, who in turn shall forward the same to COE. He / she shall enter such references in the marks list against the dummy / code number.
- If the Examiner during the assessment of the scripts suspects any case of malpractice, he / she shall immediately report it to the Controller of Examinations indicating the code / dummy number of the candidate, subject / paper etc.
- The examiner shall value not less than 40 scripts if there are no Parts and 60 scripts if only a Part (Part-A / Part-B etc.) of the answer-booklet is to be valued.
- The examiner shall prepare marks lists in the prescribed proforma provided for the purpose. He / She should have full knowledge of shading and filling of OMR marks sheets
- Blue / Black Ball point pen shall be used preferably for shading of OMR marks sheet. Sufficient care should be taken while shading on the OMR mark-sheets since any mistakes made in the OMR marks-sheet at the time of shading it cannot be rectified further.

**Form-X904**

**INSTRUCTION TO EXAMINERS CONDUCTING  
CLINICAL/ ORAL/ VIVA-VOCE EXAMINATION**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

All clinical and oral examinations shall take place as per the schedule decided by the Controller of Examinations in consultation with the Chairman, BOE. These shall not be held on public holidays.

At no practical oral or clinical examination shall a large number of candidates be examined than can be thoroughly tested in the time available.

When more Examiners than one are appointed in a subject, two shall be present at the same time at the oral, practical or clinical examination of each candidate, and the oral or clinical examination shall be carried out by the Examiners grouped in pairs. The marks shall be given after consultation between and with the concurrence of the Examiners constituting the pair.

Examiners are further instructed to note that, nobody, except the examiners and persons specially appointed to assist the examiners, is permitted without proper authorization from the Chairman, BOE, or the COE to be present in the hall where the oral or clinical tests are being conducted.

**Form-X907**

**INSTRUCTIONS TO CANDIDATES ON HALL TICKET**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

*(To be printed on the back of the Hall Ticket)*

**INSTRUCTIONS TO CANDIDATES**

- Keep the Hall Ticket safely and do not soil it or scribble on it or crumble it. Hall tickets should be preserved till the end of Examinations. Loss of Hall Ticket has to be reported immediately and duplicate can be obtained on payment of fine.
- Candidates with valid identity card and hall ticket only will be permitted into the examination hall. They should not write any matter on the hall ticket / identity card / calculator / stationery / cloth etc.
- Candidates shall not be permitted into the examination hall after 30 minutes from the commencement of the examination and will not be allowed to leave the examination hall in the first 30 minutes of the examination.
- Candidates should carefully fill the relevant columns (Registration No., Examination, Subject etc.) in the space provided on the front page of the answer book and not elsewhere on the answer book.
- Use only blue / black ball or ink pen for writing answers.
- Handover the answer book to the Invigilator before leaving the examination hall.
- Candidates should not write any matter, identification mark, appeal, symbol, etc., unrelated to the examination anywhere on the answer book. Violation is treated as malpractice and liable for disciplinary action.
- Candidates are prohibited from carrying books, notes, slips, reference material, log tables, scribbling pads, cell phones, programmable calculators, electronic and audio devices, etc.
- Candidates indulging in unfair means / malpractice / misconduct are liable for punishment as per University Regulations.

**Form-X908 INSTRUCTIONS TO CANDIDATES ON ANSWER-  
BOOKLET**



**ANNAMALAI UNIVERSITY**

**Annamalainagar**

*(To be printed on the inner cover page of the Answer Book)*

- Write and Shade your Register Number legibly in the boxes provided. Only Candidates pursuing the Integrated Programs should write the '1' in the first box. Others should leave this box blank and should start filling the Register Number from the second box.
- Take great care to Shade the OMR regions with blue / black ball point pen. Shade the circles corresponding to your Register Number and NOT any other.
- **No Supplementary answer-book will be issued.** Write on each ruled line on both sides of the leaf. Please do not waste pages unnecessarily.
- DO NOT WRITE ANY SUCH THING WHICH MAY DISCLOSE YOUR IDENTITY AT ANY LOCATION OTHER THAN THE SPECIFIED. Such cases will be treated as case of malpractice/unfair-means.
- The rough work carried out must be crossed out clearly and it will not be read by the examiner.
- Write question numbers clearly in the left margin of answer-book.
- Leave sufficient space after every answer so as to demark the one from another. Write your answers on both sides of the papers.
- **Bringing cell phone / programmable calculator / communication devices inside the examination hall is strictly prohibited. Exam conducting authority will not be responsible for the custody of such articles. However, use of scientific calculator is permitted.**

- No paper is to be brought inside the examination hall for scribbling. Cases of candidates found talking or copying or using any type of Unfair-means in or outside the examination halls will be dealt with in accordance with provision of Unfair-means. Students indulging in malpractice or resorting to unfair-means are liable to be punished by suspension / expulsion.
- Do not leave the examination hall without handing over your answer book to the Hall Supervisor.
- During the course of examination the candidate shall be under the discipline and control of the Centre Chief Superintendent and shall obey all orders passed by the Superintendent on all matters relating to the examinations.
- CANDIDATES SHOULD READ THE QUESTION PAPER AND THE INSTRUCTIONS CAREFULLY BEFORE THEY BEGIN TO WRITE THEIR ANSWERS.

**Form-X909      AFFIRMATION GIVEN BY A TEACHER ON  
SUFFICIENT GROUNDS FOR RE-EVALUATION OF  
ANSWER-SCRIPT**



**ANNAMALAI UNIVERSITY  
Annamalainagar**

Name of Candidate	
Register Number	
Programme	
Semester	
Subject/ Course	
Examination	

Reasons for Revaluation of Answer script (to be provided by a teacher of the subjects:

Signature of the Teacher

Comments of the HOD:

Name:

Designation:

Date:

Signature of the HOD

## **ORDINANCE**

### **PART – III**

#### **DOCTOR OF PHILOSOPHY (Ph.D.)**

##### **ACT PROVISIONS**

In accordance with the provisions of Section 31(b) of the Annamalai University Act 2013, the following Annamalai University Ordinance Governing the Award of the Degree of Doctor of Philosophy is prepared.

##### **REGULATIONS FOR DOCTOR OF PHILOSOPHY – 2023-24**

##### **DEFINITIONS AND NOMENCLATURE**

In the Regulations, unless the context otherwise requires

- i) “University” means Annamalai University, Annamalainagar 608 002.
- ii) “Departmental Research Committee” means the Committee duly constituted by the Vice-Chancellor of the University for Effective Coordination of the research activities of the department.
- iii) “Programme” means Doctoral Programme leading to the award of Ph.D. degree in Arts, Science, Marine Sciences, Indian Languages, Engineering & Technology, Education, Fine Arts and Agriculture.
- iv) “Supervisor” means any faculty member of the University who has been recognized by the University to guide the research scholars.
- v) “Co-supervisor” means a recognized supervisor to guide the scholars in interdisciplinary research that requires more than one expert to guide the research scholars.
- vi) “Head of the Department” means Head of the Department of the supervisor.

- vii) “Place of Research” for the scholars shall be the Department where the supervisor is working.
- viii) “Research Advisory Committee” means a committee constituted as per this regulations for each Scholar, to monitor the progress of his / her research work.
- ix) “Research scholar” means any candidate admitted by the University under Full time, Part time (Internal) and Part Time (External) category pursuing research for the award of Ph.D. degree of the University.
- x) “Course Work” means theory course(s) /subject(s)/practical course/theory cum practical course that is / are prescribed by the Research Advisory Committee for the scholar to undergo as a part of the programme requirement.
- xi) “Grade Point” means the total marks in percentage divided by ten and rounded off to two decimal points.
- xii) “Credit Point” means the grade point multiplied by the corresponding credit hours.
- xiii) “Grade Point average (GPA)” means the total credit points secured in a semester divided by the total credit hours registered in a semester.
- xiv) “Cumulative Grade Point Average (CGPA) or Overall Grade Point Average (OGPA)” means the total credit points secured by a research scholar for all the semesters divided by the total credit hours of the courses registered and rounded off to two decimals.
- xv) “Publication” means full length research articles reporting new research findings in respective fields which comprise presentations on new concepts, the development of innovative methods that include figures, tables and references; the results of which have a general impact and contribute to the advancement of the particular field, and are always peer reviewed.

## 1. PREAMBLE

Doctor of Philosophy (Ph.D.) is the Highest Academic Degree which requires in-depth study and extensive intellectual effort. The Doctor of Philosophy (Ph.D.) Degree is awarded to a candidate who, as per these regulations, has submitted a thesis on the basis of original research either in any particular subject / discipline or involving more than one discipline(inter-disciplinary) that makes a contribution to the advancement of knowledge, which is approved by Board of Examiners as required. The Ph.D. Regulations-2022 of Annamalai University from the admission to the award of “Degree of Doctor of Philosophy” is based on the UGC (Minimum Standards and Procedure for award of Ph.D. Degree) Regulations dated 5<sup>th</sup> May 2016 and subsequent amendments made during 2018 & 2022. The ICAR regulations are followed for Ph.D. in Agriculture. This University does not offer Ph.D. Programmes under Distance Education mode.

## 2. GENERAL ELIGIBILITY

- 2.1 Master’s Degree from UGC recognized University or any other qualification recognized as equivalent thereto in the fields of study notified from time to time by the University. Specific educational qualifications are given in Clause 4.
- 2.2 A minimum of 55% marks or CGPA 5.50 on a 10 point scale in the qualifying examination for Faculties of Arts, Science, Marine Sciences, Indian Languages, Engineering & Technology, Education, Fine Arts. In the case of SC / ST / OBC (Non-creamy layer) / Differently-abled candidates, 50% marks or CGPA of 5.0 on a 10 point scale in the Master’s degree.
- 2.3 Candidates who have secured their Master’s Degree under 10+2+3+2 (or) 10+2+4+2 (or) 10+3+3+2(or) 10+2+5 pattern of programmes of study are eligible. Candidates who have passed Master’s Degree through Open University system are not eligible.

### 3. FACULTIES/DEPARTMENTS OFFERING Ph.D. PROGRAMMES

The following faculties offer research Programmes leading to the award of Ph.D. Degree:

Faculty	Ph.D. Programmes
<b>Arts</b>	English, History, Political Science, Public Administration, Economics, Sociology, Social Work, Commerce, Population Studies, Business Administration, Rural Development, Library & Information Science, Philosophy.
<b>Science</b>	Mathematics, Statistics, Physics, Chemistry, Botany, Zoology, Bioinformatics, Microbiology, Geology, Applied Geology, Geoinformatics, Biochemistry, Biotechnology, Computer Science, Computer Applications, Sports Biomechanics, Exercise Physiology, Sports Nutrition, Sports Psychology, Strength & Conditioning.
<b>Marine Sciences</b>	Marine Biotechnology, Marine Microbiology, Marine Food Technology, Marine Biology & Oceanography, Coastal Aquaculture, Ocean Science & Technology.
<b>Indian Languages</b>	Tamil, Hindi, Linguistics.
<b>Engineering &amp; Technology</b>	Chemical Engineering, Chemical Engineering - Biotechnology, Chemical Engineering - Food Technology, Chemical Engineering - Industrial Safety, Civil Engineering, Civil & Structural Engineering, Computer Science & Engineering, Electrical & Electronics Engineering, Electronics & Communication Engineering, Electronics & Instrumentation Engineering, Information Technology, Mechanical Engineering, Manufacturing Engineering, Pharmacy.
<b>Education</b>	Education, Psychology, Physical Education.
<b>Fine Arts</b>	Music, Dance
<b>Agriculture</b>	Agricultural Economics, Entomology, Agricultural Extension Education, Microbiology, Agronomy, Genetics and Plant Breeding, Plant Pathology. The various programmes from different Departments as approved by regulatory agencies concerned (like ICAR and UGC) would be offered after due approval by the Syndicate.

#### **4. EDUCATIONAL QUALIFICATION**

##### **4.1. FACULTY OF ARTS**

###### **English**

A pass in Master's Degree in English / English & Comparative Literature / English & Communication / English & Functional English / English & English Language Teaching / American Studies / English Language and Literature / English with Computer Applications / English Studies with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

###### **History**

A pass in Master's Degree in History / History & Heritage Management / Ancient History & Archaeology / History & Tourism Management and any other MastersDegree relevant to the field of History with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

###### **Political Science**

A pass in Master's Degree in Political Science / International Relations / Human Rights / Defence studies / Women studies with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

###### **Public Administration**

A pass in Master's Degree in Public Administration / Social Welfare Administration / Police Administration / Development Administration / Public Policy Analysis with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Economics**

A pass in Master's Degree in Economics / Applied Economics / Mathematical Economics / Econometrics / Business Economics / Environmental Economics / Development Studies / Rural Economics / Rural Development / Women Studies / Gender Studies / Business Studies / Disaster Management / Rural Management / Environmental Management with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Sociology**

A pass in Master's Degree in Sociology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Social Work**

A pass in Master's Degree in Social Work (MSW) with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Commerce**

A pass in Master's degree in Commerce/(M.Com) in Accounting & Finance/ International Banking / Financial Services / Business Studies / Co-operative Management / International Business / Banking & Insurance / Accounting Information System / M.Com. Five Year Integrated Programme/ M.A. Co-operation /M.A. Corporate Secretaryship / Master of Bank Management / Master of Business Studies / Master of Financial Services / Master of Financial Management / Master of Financial Control with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Population Studies**

A pass in Master's degree in Population Studies or other interdisciplinary Programmes viz. Hospital Administration / Hospital Management / Project Management / Sociology / Economics / Commerce / Management / Psychology / Geography / Statistics / Social Work / Rural Development / Anthropology / Medicine / Nursing / Public Health / Education / Adult Education / Mathematics / Actuarial Science / Population & Development / Master of Health Social Sciences (MHSS) with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised equivalent thereto.

### **Business Administration**

A pass in Master's Degree in Business Administration or a pass in PG programme in Management (their area of research will be restricted to their specialization in their PG degree) with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Library & Information Science**

A pass in Master's Degree in Library and Information Science with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Philosophy**

A pass in Master's Degree in M.A(Philosophy / Indian Culture / Yoga / History / Political Science / Sociology / M.S.W(Master of Social Work) or any other Master's Degree relevant to the field of Philosophy & Religion with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

## **Rural Development**

A pass in Master's Degree in Rural Development or any other allied field of study with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

## **4.2 FACULTY OF SCIENCE**

### **Mathematics**

A pass in Master's Degree in Mathematics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Statistics**

A pass in Master's Degree in Statistics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Physics**

A pass in Master's Degree in Physics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Chemistry**

A pass in Master's Degree in Chemistry with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

**Botany**

A pass in Master's Degree in Botany / Herbal Science with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

**Zoology**

A pass in Master's Degree in Zoology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

**Bioinformatics**

A pass in Master's Degree in Bioinformatics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

**Microbiology**

A pass in Master's Degree in Microbiology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

**Geology / Applied Geology**

A pass in Master's Degree in Geology / Applied Geology / Marine Geology / Geo-Physics / Geo-Chemistry with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Geoinformatics**

A pass in Master's Degree in Geoinformatics / Geology / Applied Geology / Marine Geology / Geo-Physics / Geo-Chemistry with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Biochemistry**

A pass in Master's Degree in Biochemistry / Life Sciences / Molecular Biology / Nutrition and Dietetics (equivalent thereto) / Biochemical Technology / Genomics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Biotechnology**

A pass in M.Sc. / M.Tech Degree in Biotechnology (Industrial, Plant, Animal, Nano, Medical, Environmental and Microbiology) / Molecular Biology / Biochemistry / Microbiology / Genetics (Plant, Animal, Human and Biomedical Genetics) / Life Sciences / Biomedical Technology / Genomics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Computer Science / Computer Applications**

A pass in M.Sc. (Computer Science / Information Technology / Information Science / Software Engineering / Computer Technology) / MCA with a minimum of 55% or its equivalent grade point average in the relevant discipline of this University or any other University accepted by the Syndicate as equivalent thereto.

### **Sports Biomechanics**

A pass in Master's Degree in Sports Biomechanics with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Exercise Physiology**

A pass in Master's Degree in Exercise Physiology / Sports Physiology / Sports Science with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Sports Nutrition**

A pass in Master's Degree in Sports Nutrition with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Sports Psychology**

A pass in Master's Degree in Sports Psychology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Strength & Conditioning**

A pass in Master's Degree in Strength & Conditioning / Sports Physiotherapy / Physical Education with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **4.3 FACULTY OF MARINE SCIENCES**

#### **Marine Biology & Oceanography**

A pass in Master's Degree in Marine Biology & Oceanography / Biotechnology / Zoology / Botany / Animal Science & Biotechnology / Plant Science & Biotechnology / Biochemistry / Human Genetics / Applied Genetics / Molecular Biology / Microbiology / Industrial Microbiology / Agriculture Microbiology / Pharmacology / Marine Sciences / Conservation of Marine Environment / Forestry / Oceanography & Coastal Area Studies / marine Biology / Environmental Sciences / Marine Studies & Coastal Resource Management / Marine Biology & Fisheries with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

#### **Coastal Aquaculture**

A pass in Master's Degree in Coastal Aquaculture / Biotechnology / Zoology / Botany / Animal Science & Biotechnology / Plant Science & Biotechnology / Biochemistry / Human Genetics / Applied Genetics / Molecular Biology / Microbiology / Industrial Microbiology / Agriculture Microbiology / Pharmacology / Coastal Aquaculture and Marine Biotechnology / Applied Fisheries & Coastal Aquaculture with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

#### **Marine Biotechnology**

A pass in Master's Degree in Marine Biotechnology / Biotechnology / Zoology / Botany / Animal Science & Biotechnology / Plant Science & Biotechnology / Biochemistry / Human Genetics / Applied Genetics / Molecular Biology / Microbiology / Industrial Microbiology / Agriculture Microbiology / Pharmacology / Chemistry

with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Marine Microbiology**

A pass in Master's Degree in Marine Microbiology / Marine Biotechnology / Biotechnology / Zoology / Botany / Animal Science & Biotechnology / Plant Science & Biotechnology / Biochemistry / Microbiology / Industrial Microbiology / Agriculture Microbiology / Applied Microbiology / Conservation of Marine Environment with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Marine Food Technology**

A pass in Master's Degree in Botany / Zoology / Aquaculture / Biochemistry / Biotechnology / Microbiology / Fishery Science / Animal Science & Biotechnology / Plant Science & Biotechnology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Ocean Science & Technology**

A pass in Master's Degree in Ocean Science & Technology / Geology / Applied Geology / Geoinformatics / Environmental Sciences / Environmental Engineering / Mathematics / Physics / M.E. Energy Engineering and Management / M.E. Disaster Management and Engineering / M.E./ M.Tech. Remote Sensing & GIS / M.Tech. Coastal Management / M.E./M.Tech. Environmental Engineering with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

#### **4.4. FACULTY OF INDIAN LANGUAGES**

##### **Tamil**

A pass in Master's Degree in Tamil with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

##### **Hindi**

A pass in Master's Degree in Hindi with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

##### **Linguistics**

A pass in Master's Degree in Linguistics / Translation Studies / any language with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

(or)

A pass in any Master's degree other than the above with 55% of marks with a condition that the candidate should complete his/her Master's Degree in Linguistics / Translation Studies (through DDE) or post-graduate Diploma in Linguistics / Natural Language Processing before submitting the dissertation. For those candidates the degree will be awarded as Ph.D. in Linguistics (Interdisciplinary).

#### **4.5. FACULTY OF ENGINEERING & TECHNOLOGY**

##### **Chemical Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

##### **Chemical Engineering - Biotechnology**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

##### **Chemical Engineering - Food Technology**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

##### **Chemical Engineering - Industrial Safety**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

##### **Civil Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

##### **Civil & Structural Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Computer Science & Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Electrical & Electronics Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Electronics & Communication Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Electronics & Instrumentation Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Information Technology**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Mechanical Engineering**

A pass in M.E / M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

**Manufacturing Engineering**

A pass in M.E/M.Tech in the relevant branch of Engineering and Technology with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA).

### **Pharmacy**

A pass in Master's Degree in Pharmacy / Pharm.D. / any other degree consider as equivalent to Master's degree in Pharmacy with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

## **4.6. FACULTY OF EDUCATION**

### **Education**

A pass in Master's Degree in Education (M.Ed. / M.A. Education) with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Psychology**

A pass in Master's Degree in Psychology or other specialization in Psychology (Applied Psychology / Clinical Psychology / Guidance and Counselling / Organizational Behaviour etc.). with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

### **Physical Education**

A pass in Master's Degree (M.P.Ed. / M.P.E. / M.P.E.S.) with a minimum of 55% marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination recognised as equivalent thereto.

## **4.7. FACULTY OF FINE ARTS**

### **Music / Dance**

A pass in Master's Degree in Music / Dance of this University with 55% of marks or equivalent Cumulative Grade Point Average (CGPA) or in an examination as equivalent thereto or any Master's degree with 10 years of established proficiency in Music / Dance.

#### **4.8. FACULTY OF AGRICULTURE**

Faculty of Agriculture offers Ph.D. programmes adopting regulations prescribed by ICAR and other regulatory agencies concerned. The candidates must have fulfilled the academic qualifications as specified by ICAR or any other regulatory agency required and as approved by the Syndicate. Research and submission of thesis procedures shall be followed as per adopting the regulations approved by the Syndicate from time to time.

#### **5. CATEGORIES OF Ph.D. PROGRAMME**

Ph.D. Programme is available in the following three categories:

- a) Full-time
- b) Part-time – Internal
- c) Part-time – External

Candidates who satisfy the eligibility criteria, prescribed in Ordinance Nos. 2 and 4 above, are eligible to apply for Ph.D. Programme.

##### **5.1 Full-Time Ph.D. Programme**

5.1.1 Candidates under Full-time mode shall do research work in the University campus only. The Full-time Ph.D. scholars shall report daily in the department at least during the office hours of the University and they should sign every day in the attendance register at the respective place of research.

- 5.1.2 Project staff / fellow working in a sponsored project which has at least three / two years tenure from Govt. of India / Industries / Govt. of Tamil Nadu can also register under full time mode.
- 5.1.3 Candidates in employment, who want to pursue Full-time study, should be sponsored by their employer and should avail leave for the minimum duration of the programme and should be formally relieved from their duty to join the research programme.
- 5.1.4 Candidates who are selected under the National level Fellowship programmes or by any recognized bodies and who satisfy the eligibility conditions as per the regulations shall apply for Full-time category in the respective discipline.

**Admission of Foreign Students to Ph.D.**

**Programme (Full-time)**

- 5.1.5 Foreign students who are selected under various scholarship schemes, either by the Ministry of Education and Culture or by the Ministry of External Affairs, will be given admission as Full-time scholar on the recommendation / sponsorship of the respective Ministry of Government of India. The other foreign students who seek admission for Full-time should possess a Research VISA issued by the Indian Embassies abroad and produce a “No Objection Certificate” from the Ministry of Human Resource Development, Government of India, after clearance from the Ministry of External

Affairs. They should also show proof for financial capability for staying / pursuing Ph.D. Programme continuously for 3 years.

## **5.2 Part-Time (Internal) Ph.D. Programme**

- 5.2.1 Research Scholars under this category are those who are presently employed on regular basis in this University at the time of applying for the Ph.D. programme.
- 5.2.2 Those who have joined as Assistant Professors with M.Phil. / M.E. / M.Tech. / M.Pharm. are permitted to register for Ph.D. Programme after one year from the date of joining in the post.
- 5.2.3 Faculty members who do not have an M.Phil. Degree shall be allowed to register for the Ph.D. Programme after two years from the date of joining in the post, provided they fulfil the eligibility conditions as given in clause 2.0 for registration as Part-time candidates.
- 5.2.4 The Regular Non-Teaching Staff shall be allowed to register for Ph.D. Programme after completing five years of service in the University from the date of joining in the post, provided they fulfil the eligibility conditions for registration as Part-time candidates.
- 5.2.5 The normal work of teaching / non-teaching staff shall not be affected at any cost, if they are selected for the Ph.D. programme. Their selection for the Ph.D. Programme is subject to the final discretion of the Vice-Chancellor. Further, those who acquired Ph.D. (teaching & non-teaching) cannot claim promotion / change of designation / change of cadre.

5.2.6 Staff members of Annamalai University who apply for Ph.D. programme should submit no objection certificate from the employer along with application form.

### **5.3 Part-Time (External) Ph.D. Programme**

5.3.1 The University reserves full rights for admitting candidates under part-time external category.

5.3.2 The part-time candidate shall register under a research supervisor who is a full time teaching faculty of this University.

5.3.3 The Part-time candidate should be employed as Assistant Professor / Associate Professor / Professor in a recognized College / University where facilities for carrying out research work are available. The Institution where the candidate is employed should have Post graduate Department in Science, Marine Sciences, Engineering & Technology / Undergraduate Departments for Arts, Fine Arts, Education and Indian Languages. Administrators / Executives / IPS Officers and Managers in reputed institutions may be permitted as part time scholar. Further, such candidates should possess minimum qualifications for applying for Ph.D. programme.

5.3.4 Librarians, Assistant Librarians, Library Technical Assistant, Library Assistants, Library Professional Assistants working in Schools, Public Libraries, Colleges & Universities and Physical Directors working in Colleges / Universities / Regular SAI & SDAT coaches with minimum three years of experience, who fulfil the eligibility conditions can apply for Ph.D. programme with a suitable supervisor

in Annamalai University and they do not require a co-supervisor. The candidates shall undergo the regular procedure for admission to Ph.D. programme.

5.3.5 Employed as Research Scientist / Research Officer / Personnel or similar cadre in Private or Government Institutions / Organisations / Industrial units with Research and Development facilities are also eligible to apply for part-time Ph.D. programme with a supervisor from Annamalai University.

5.3.6 Part-time external scholars should sign in the attendance register at least one month per academic year (a spell of at least five days minimum) in the respective Department of Annamalai University.

5.3.7 The following certificates should be attached along with the application for Ph.D. admission

- i. No Objection Certificate (NOC) from the employer.
- ii. No Objection Certificate (NOC) required from candidates working in different institutions is mentioned below:

1. Government College - Director of Collegiate Education
2. Aided college - Secretary of the college
3. Teachers of Polytechnics - Director of Technical Education
4. PG Asst in Schools - Joint Director
5. Self-financing colleges - The Employer
6. Guest Lecturers - Principal of the concerned college

- iii. Acceptance letter from the co-supervisor, if applicable.

## **Change of Category**

5.4 Provision exists for change of category from full-time to part-time and vice-versa provided the residency and attendance requirements are satisfied. The change of category shall be approved by the Vice-Chancellor only once during the tenure, subject to written request letter along with submission of necessary documents with the recommendation of the supervisor, Head of the department, Dean of the faculty concerned. Change of category more than once may be considered only under extraordinary circumstances, if deemed fit. In case of change from part-time to full-time, the request should be submitted within three months, from the date of joining. In case of change from full-time to part-time or vice-versa, minimum period for submission of Thesis should be accounted as the minimum period prescribed for the changed category.

## **6. MODE OF SELECTION**

- 6.1 Ph.D. admission notification and entrance exam date will be published on the university website every year.
- 6.2 The candidates desirous of registering for Ph.D. Programme under any one of the above categories shall apply by filling all the relevant details mentioned in the online application form posted in the University website and submit the completed application online before the due date as indicated in the notification issued from time to time.
- 6.3 Incomplete applications and applications with false information in any respect shall be summarily rejected without any intimation to the candidate.

- 6.4 The respective departments shall conduct the entrance test. Candidates should ensure their candidature for the eligibility criteria.
- 6.5 The research scholars has the option to choose the research supervisor based on expertise in the chosen research field and allotment of supervisor will be done by the DRC giving due consideration to the research scholar's option.
- 6.6 The admission of Ph.D. students shall be based on the following criteria besides General Eligibility:

An entrance test at Post-Graduate level for 70 marks [70 multiple choice questions (MCQs), each question carrying one mark and the duration of the test is 90 minutes] followed by an interview that will have a weightage of 30 marks.

The candidates who secure 50% marks in entrance test and interview put together are eligible for admission.

A relaxation of 5% marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (Non-Creamy layer)/Differently abled category.

Candidates with M.Phil. Degree from an approved University, UGC JRF / NET / SLET / SET / GATE / CSIR / ICHR / ICPR / ICSSR qualified candidates and teacher fellowship holders are exempted from the Entrance test but they have to appear for the interview.

While granting admission to Ph.D. Programmes, due attention shall be paid to the State Reservation Policy.

## Departmental Research Committee

6.7 The following is the constitution of the Departmental Research Committee (hereafter referred to as DRC). The members other than Head of the department and the coordinator of DDE shall serve only for one academic year.

<b>Designation</b>	<b>Members</b>
The Head of the Department	Convener
The respective Coordinator of DDE, if exists	Member
Two Professors/Senior Faculty members nominated by the Vice-Chancellor (in rotation)	Members
One Associate Professor (in rotation)	Member
One Assistant Professor (in rotation)	Member

If faculty members are not available in any of the above categories in a department that may be kept vacant and DRC may be constitute with remaining members.

6.8 The DRC has the following functions:

- ✓ Selection of candidates for admission to the Ph.D. programme.
- ✓ Allotment of Research Supervisors to students enrolled for the Ph.D. programme.
- ✓ Facilitating research facilities in the department.
- ✓ Framing the syllabus for course work.
- ✓ Maintenance of research quality and quality of publications.
- ✓ Sorting out any other research related issue of the department.

- 6.9 If there is any dispute either in the constitution or functioning of the DRC, it shall be brought to the notice of the Director-DARE through Dean of the Faculty and the decision of the Vice-Chancellor shall be final.
- 6.10 The minutes of the DRC together with the list of candidates and their research supervisors along with recommendations of the Dean of the respective faculty will be placed before the Vice-Chancellor for approval.

## **7. ADMISSION**

The selected candidates shall be issued admission cards and they will be admitted to Ph.D. programme in the respective department based on his / her PG qualification. The candidates should join before the last date mentioned in the selection order by paying the prescribed fees, failing which they will forfeit the admission.

## **8. TUITION FEE & OTHER FEES**

The selected candidates shall pay the tuition fee and other fees as prescribed in the University notification issued from time to time.

## **9. SUPERVISOR RECOGNITION**

- 9.1 The applicant for supervisor recognition should possess Ph.D. degree from UGC recognized university in the relevant area of research in which he / she has carried out research.
- 9.2 The applicant should have published a minimum of TWO publications after the award of Ph.D. in SCI / SSCI / UGC listed journals as a first author or corresponding author which is mandatory for supervisor recognition.
- 9.3 The eligible candidates can apply in the prescribed application for supervisor recognition.

- 9.4 The regular full-time teaching faculty members after completing one year of service in the University are eligible to apply for supervisorship.
- 9.5 The supervisorship will be awarded in the same faculty in which his/her Ph.D. Degree was awarded.
- 9.6 Supervisor recognition orders shall be issued officially only to eligible applicants as mentioned above.
- 9.7 A research supervisor will be permitted to register candidates till two years prior to his / her retirement. Research scholars will be permitted to continue to work and submit their theses under the guidance of a retired person only for a maximum period of one year from the date of retirement. If the candidate is unable to submit his/her thesis within this time, the Head of the department concerned will suggest a research supervisor in consultation with the Research Advisory Committee and Dean.
- 9.8 A research supervisor is normally eligible to guide only in his / her basic subject / discipline. However, he / she may be permitted to guide in a related subject in which he / she has at least two publications in professionally recognized national / international journals, or authored a book, after getting approval of the expert in the discipline concerned nominated by the Vice-Chancellor. If there is any dispute in this regard, the decision of the Vice-Chancellor shall be final.
- 9.9 A research supervisor shall not be allowed to register a candidate for Ph.D. if the candidate is a blood relative to the supervisor.

- 9.10 A faculty member who accepts an administrative position such as Controller of Examinations, Registrar or Vice-Chancellor shall not function as a research supervisor. However, he / she may be allowed to complete the theses of candidates registered with him / her and after that he / she cannot register fresh candidates.
- 9.11 The Vice-Chancellor shall be empowered to summarily withdraw the research supervisorship on the following grounds:
- Moral turpitude / Sexual harassment
  - Plagiarism
  - Fraudulent academic claims
  - Any act prejudicial to the reputation of the University without assigning any reason thereof.

**Change of Supervisor:**

- 9.12 Change of research supervisor shall not be permitted as a routine.

In exceptional cases, such change may be permitted, if valid reasons are provided by the candidate. The committee headed by the Vice-Chancellor shall look into the request of the petitioner, if there is any conflict between the scholar and the research supervisor. The research supervisor under whom the scholar has originally registered shall give a “No Objection Certificate” and the new proposed research supervisor should give a “Certificate of Willingness” to guide the candidate. However, the Vice-Chancellor, on the recommendation of the Department Research Committee, has the right to assign a new research supervisor to the research scholar, and change of supervisor order shall be issued officially by Director, DARE.

9.12.1 When the change of research supervisor is approved, the candidate shall work for a minimum of one year with the new research supervisor before submitting the synopsis provided, he / she fulfils the attendance requirements. However, based on the merit of the request of the scholar, the decision of the Vice-Chancellor is final.

9.12.2 The research supervisor who wishes to avail leave / lien /deputation beyond a period of SIX MONTHS shall propose a co-supervisor in the subject concerned for the candidates registered with him / her, and the fact may be intimated to the University well in advance. The final approval of the proposal rests with the Vice-Chancellor.

## **10. NUMBER OF SCHOLARS**

A Professor who is a recognized supervisor shall guide only a maximum of 8 Ph.D. scholars as supervisor / co-supervisor at any time. An Associate Professor who is a recognized supervisor shall guide only a maximum of 6 Ph.D. scholars as supervisor / co-supervisor and an Assistant Professor who is a recognized supervisor shall guide only a maximum of 4 Ph.D. scholars as supervisor/co-supervisor at any time.

The number of vacancies under a supervisor shall be considered taking into account of the actual date of submission of the thesis by the registered candidates.

## **11. DURATION OF THE PROGRAMME**

- 11.1 The duration of the programme and the time for submission of thesis are counted from the date of remittance of admission fee.
- 11.2 The minimum duration of the programme for Full-time scholars is three years for those who join after completing Master's degree and two years for those with M.Phil. degree. For part-time scholars, the minimum duration is four years for those who join after completing Master's degree and three years for those with M.Phil. Degree.
- 11.3 The Vice-Chancellor, shall permit if deemed fit for reasons, break of study for the scholar under extraordinary circumstances such as medical grounds and other compelling reasons which warrant his / her absence from the programme. However, the break of study period shall not be counted for the minimum duration of the programme.
- 11.4 Break of study shall be granted upto a maximum period of one year. Such request shall be made in writing by the scholar with the recommendation of the supervisor, Head of the Department and Dean of the Faculty, and it should reach the Director, DARE prior to availing the break of study. The orders for break of study shall be issued by the Director after assessing the need. If prior permission is not sought and obtained, it will be considered as a case of discontinuation and action will be taken to cancel the registration of such scholars. Break of study period will be counted for the maximum duration of the programme (Clause 11.6). The scholar should remit the yearly fees during the break of study period also.

11.5 The maximum duration of the Programme shall be six years for full-time and part-time scholars of all the Faculties.

11.6 Women candidates (who availed maternity leave) and persons with disability (more than 40% disability) are allowed a relaxation of two years. Thus, the maximum duration for such scholars shall be eight years.

## **12. EXTENSION OF DURATION**

12.1 Scholars who do not submit the thesis within the maximum duration of the programme (six years) shall apply for extension of time three months prior to the completion of six years with the recommendation of Supervisor, Head of the Department and Dean of the Faculty. In such cases a maximum grace period of one year, beyond the normal maximum period of six years shall be granted by the Director, DARE with the approval of Vice-Chancellor.

12.2 If the scholar fails to submit the thesis within seven years from the date of joining the programme, the registration shall be cancelled without any further notice.

## **13. RESEARCH ADVISORY COMMITTEE (RAC)**

13.1 There shall be a Research Advisory Committee (RAC) for every scholar to monitor the progress of research work.

13.2 The Research Advisory Committee (RAC) shall consist of the Head of the Department or his nominee as Chairperson, the research supervisor as the convener, co-supervisor, if applicable, and two experts in the field of research of the scholars as members.

13.3 For the selection of two experts for RAC, the research supervisor should suggest three names within the department and another three names from other departments of the same faculty or from other faculties

(who have some expertise in the area of research of the scholar). The Dean of the Faculty will select one expert from the department of the scholar and the other expert from any other department.

13.4 The Research Advisory Committee will meet once in six months.

13.5 The first RAC meeting shall be convened within two months from the receipt of provisional registration orders. The research topic and the courses to be undertaken by the scholar shall be decided in the meeting and the minutes of the first RAC meeting in the prescribed format should be forwarded to the Director, DARE.

13.6 The other RAC meetings shall be convened periodically during the second week of July and December every year to review the research progress of the Scholars and to offer suggestions / modifications.

13.7 The Research Advisory Committee shall have the following functions:

- i. Advise and recommend on all matters connected with the candidate's research from admission till the submission of the thesis.
- ii. Approve the topic of research.
- iii. Scrutinize the research proposal submitted by the candidate.
- iv. Recommend the course(s) that the candidate has to undergo.
- v. Assess and approve the progress reports of Ph.D. scholars in the prescribed format and report on the fitness or otherwise of the candidate to proceed with his/her research work.

- vi. If necessary, recommend and approve change of title of thesis, change of supervisor and change of status of researcher (full time to part time and vice-versa).
  - vii. Review and endorse the research progress of the candidate periodically.
  - viii. Supervise the presentation by the candidate of the final draft of his / her proposed thesis for approval before the submission of synopsis of the thesis to the Director, DARE and sign a certificate to this effect to be submitted along with the synopsis.
  - ix. Assess the conduct/validity of experiments / field work, peruse laboratory observation notebooks, data recording and analysis and publications.
  - x. Assess the quality and quantum of research work for submission of synopsis.
  - xi. Verify the two mandatory publications in SCI / SSCI / UGC listed journals to permit the scholar to submit the synopsis.
  - xii. Approve the synopsis of the thesis.
  - xiii. Approve the panel of Foreign and Indian Examiners.
  - xiv. Finalize and approve the title of the thesis.
  - xv. Monitor the corrections carried out, if any pointed out by the thesis evaluation examiners.
- 13.8 The convener in consultation with the Head of the Department concerned will convene the Research Advisory Committee meetings with intimation to the Director, Directorate of Academic Research (DARE).

#### **14. PROGRAMME STRUCTURE (Course Work)**

- 14.1 All research scholars (full-time and part-time) shall undergo a minimum of four / five courses of four credits each as stipulated by the UGC. The course work shall include courses on Research Methodology (4 credits) and Research Publication Ethics (2 credits) which are mandatory. The other courses may involve advanced topics, latest developments in the chosen field of research, and courses related to the research problem.
- 14.2 While the minimum number of courses is four / five, there can be a great degree of flexibility in the number of courses that a research scholar can undertake based on the discipline and the area of research.
- 14.3 Scholars who opted for interdisciplinary research can take an additional course work relevant to the topic as prescribed by the RAC.
- 14.4 Candidates already holding M.Phil. Degree and admitted to the Ph.D. programme in the same area of M.Phil., research, may be exempted from Ph.D. course work. All other M.Phil. candidates admitted to the Ph.D. programme shall undergo Ph.D. course work as prescribed by the RAC / Ph.D. regulation.
- 14.5 The total marks for each course in the final examination will be 100. The candidate shall secure minimum 50%, in the course work examination, failing which he / she has to reappear for the same course work examination in the next semester. If a candidate does not pass the course work examination in three appearances, his / her registration will be cancelled.

- 14.6 The research scholars shall be required to complete the course work within a period of eighteen months from the date of provisional registration in order to pursue further with their research work. For those who fail to complete the course work within the stipulated time, the RAC may recommend an extension of six months, if the RAC is convinced of their performance. If not, the RAC may recommend the cancellation of Ph.D. registration.
- 14.7 A scholar is deemed to have cleared the course(s) only if he / she has more than 80% attendance, appeared for the examination and secured a minimum of 50% marks in the course(s).
- 14.8 The performance of a scholar in each course is evaluated in terms of percentage of marks with a provision for conversion to Grade Point (GP). The sum total performance in each semester will be rated by Grade Point Average (GPA), while the continuous performance will be rated by Cumulative / Overall Grade Point Average (CGPA / OGPA).

**Confirmation of Provisional Registration:**

- 14.9 After the successful completion of course work(s) and comprehensive examination, the RAC meeting shall be convened to verify the course work completion, and assess the progress of research work.
- 14.10 The scholar shall be issued confirmation of provisional registration by the Director, DARE upon completion of all the courses prescribed by RAC in its first meeting and satisfactory progress in research. The provisional registration shall be cancelled for those scholars who do not fulfil the requirements within two years from the date of provisional registration.

## **15. RESEARCH OUTSIDE THE UNIVERSITY**

- 15.1 The research scholar shall be permitted to carry out his / her research in an institution or National Laboratory or R&D centre outside the university for a maximum period of one year only after the confirmation of the provisional registration. Such request from the scholar shall be approved by the Director, DARE, only if the request of the scholar has been recommended by the supervisor and forwarded by the Head of the Department and Dean of the Faculty of the supervisor.
- 15.2 The scholars who carried out research outside the university shall submit the synopsis only after a minimum period of two months on his / her return. The papers published during such period of outside assignment should be relevant to the area of research and should carry the scholar's supervisor name as one of the authors.
- 15.3 The scholars who obtain permission to work outside the University for a specific period as in Ordinance No. 15.1 above, on return to the University, should submit a certificate from the Organization stating the period of work and a brief research report.
- 15.4 If the scholar continues to stay outside the university beyond the approved period without prior permission, the registration of the scholar shall stand cancelled automatically.

## **16. MONITORING THE PROGRESS OF THE SCHOLAR**

- 16.1 The research scholars, both full-time and part-time, shall submit Research Progress Reports in the prescribed format duly endorsed by the Research Advisory Committee once in six months to the Director, DARE until they submit their synopsis.
- 16.2 Failure to submit the progress reports periodically shall result in the automatic cancellation of registration.
- 16.3 The minutes of the meeting of the Research Advisory Committee along with enclosures will be sent to the Director, DARE.
- 16.4 The RAC meeting may also be conducted through video conferencing or internet chat if the candidate or the Research Supervisor is in a foreign country.
- 16.5 The pre-synopsis presentation before submission of the synopsis in the presence of RAC, faculty members, research scholars, M.Phil. and P.G. students is a mandatory requirement to assess the quality and quantum of research in addition to the incorporation of the suggestions offered by RAC members.
- 16.6 The participants may suggest new ideas / references / suggestions to improve the work and so on.
- 16.7 A report on this event along with an attendance sheet shall be forwarded by the research supervisor with the endorsement of the RAC and HOD to the Director, DARE, through the Dean of the faculty during the submission of synopsis.

## **17. SUBMISSION OF SYNOPSIS**

- 17.1 The scholar shall be permitted to submit the synopsis 3 months before the completion of minimum duration of the programme as per Ordinances 11.2 and 11.3, provided the scholar has published / accepted for publications two research articles in SCI / SCI-E / SSCI / UGC listed journals and recommended by RAC otherwise the synopsis shall not be accepted for submission.
- 17.2 A certificate in the prescribed format signed by the supervisor, co-supervisor, if applicable and Head of the Department stating that the scholar has completed the minimum duration of the programme.
- 17.3 The Ph.D. scholars in the Departments of Tamil, Hindi and Music have to publish two research articles in the UGC-CARE listed Journals (either published or accepted for publication), which are mandatory prior to the submission of their synopsis; otherwise the synopsis shall not be accepted for submission.
- 17.4 Research Scholars should ensure that their published research articles should carry the affiliation of Annamalai University.
- 17.5 The research scholar shall submit one copy of the synopsis approved by the Research Advisory Committee along with a soft copy to the Director, DARE through the research supervisor, HOD and Dean of the respective Faculty.
- 17.6 The RAC meeting should be conducted just before the submission of synopsis to assess the quality and quantum of research, contents of synopsis, verify the two publications and approve the panel of Indian and foreign examiners. All these shall be presented as minutes of RAC meeting while submitting the synopsis along with, attendance certificate for pre-synopsis presentation.

- 17.7 The research supervisor shall mandatorily submit the panel of examiners (Indian and Foreign) duly approved by RAC, along with the synopsis through proper channel to the Director, DARE in the prescribed format. A panel of ten examiners (five from foreign countries and five from India) shall be provided by the supervisor. The examiners shall be from reputed Universities / Institutes / Organizations.
- 17.8 For Indian Languages such as Tamil, Linguistics (Tamil version), Hindi and Fine Arts, the panel shall consist of five members within Tamil Nadu and five members outside Tamil Nadu.
- 17.9 The proposed Indian Examiners should hold a Ph.D. Degree with not less than 10 years experience at the post-graduate level with publications at national / international level journals in the same or related research area of the thesis to their credit.
- 17.10 If the research scholar has carried out part of his / her work in another institution, the panel should not include the names of the Scientists / Professors with whom he / she has worked for a short duration.
- 17.11 If the Vice-Chancellor observes that the panel of examiners is not from reputed Institutions, he / she shall call for fresh panel or suggest examiners (both Indian and Foreign) of his / her choice.
- 17.12 The Vice-Chancellor will select one Indian and one overseas examiner from the panel and will also indicate the order of priority of examiners from 1 to 5 from the panel of Indian and foreign examiners submitted.

- 17.13 Once the Vice-Chancellor has approved the panel of examiners and assigned the priority (order of preference), the Director, DARE shall forward / dispatch the synopsis to the first examiner in both the panels and seek their acceptance for evaluation of the thesis.
- 17.14 Once an examiner accepts the invitation and agrees to evaluate the thesis, the Director, DARE shall arrange to send the thesis for evaluation along with the associated formats, guidelines and procedure for assessment. The covering letter of the Director, DARE to examiners shall insist on the confidentiality of the appointment, and request the examiners not to reveal the appointment to the supervisor / scholar / anybody.
- 17.15 If any examiner declines to accept the invitation to evaluate the thesis, the synopsis shall be sent to the next examiner in the list.
- 17.16 If there is no response from the examiner three weeks after dispatching the synopsis, the Director, DARE shall send the synopsis to the next examiner in the same order of priority in the respective panel.
- 17.17 If the acceptance to evaluate the thesis is not received from the first panel of examiners, the Director, DARE shall call for a fresh panel from the research supervisor.

## **18. SUBMISSION OF THESIS**

- 18.1 The thesis should be reported, in an organised and scholarly fashion, an account of original research work of the scholar leading to the discovery of new facts or techniques or correlation of facts already known (analytical, experimental, hardware oriented, etc.) and demonstrate a quality contribution to the advancement of knowledge as well as the scholar's ability to undertake sustained research.
- 18.2 The thesis shall be prepared in accordance with the prescribed format and specification. Four hard copies of the thesis with soft copy shall be submitted in CD (PDF format) in each copy of the thesis. The thesis shall be typed on both sides of the pages with soft cover binding.
- 18.3 The thesis shall include a declaration from the scholar, and a certificate from the supervisor and co-supervisor (if applicable) as prescribed, to the effect that the thesis is a record of original research work carried out by the scholar and the work reported in the thesis is not copied from other sources / not submitted elsewhere for a degree or diploma.
- 18.4 The research papers shall be attached to the Ph.D. thesis.
- 18.5 The Research Scholar and the supervisor certify the quality and authenticity of the publications and ensure that the candidate is listed as first or corresponding author and the supervisor should be one of the authors in the articles with the correct affiliations.

- 18.6 Fees shall be paid by the scholars every year during the notified period till the submission of the thesis. Any other fees as applicable shall be paid as notified from time to time. In case, any scholar has not paid the tuition fees and other notified fees, then the processing of synopsis and thesis shall not be processed until all the fees are paid. No dues certificate should be submitted while submitting the thesis.
- 18.7 The thesis shall comply with the following conditions to merit the award of Ph.D. degree:
- i. It should be a piece of research work characterized either by finding of new facts or by a fresh approach towards interpretation of facts and theories.
  - ii. It should reflect the candidate's capacity for critical examination and judgment.
  - iii. It should be satisfactory in terms of presentation and adhering to proper methodology of thesis writing.
- 18.8 The thesis shall not exceed 300 pages excluding the bibliography, Appendices, etc. If it exceeds the specified number of pages, the research supervisor should write to the Director, DARE with the reasons and get prior approval from the Director, DARE. The thesis should be in A4 size. The specifications for the preparation of the thesis and a model cover page of the thesis are given in Appendix II.
- 18.9 The thesis shall contain a certificate from the supervisor specifying that the thesis submitted is a record of research work done by the candidate during the period of study under him / her, and that the thesis has not previously formed the basis for the award of any Degree, Diploma, Associateship, Fellowship or similar title. A statement from the supervisor indicating the extent to which the thesis represents independent work on the part of the candidate should also be made including free from plagiarism.

- 18.10 The thesis shall also contain a declaration by the candidate that the work reported in the thesis has been carried out by the candidate himself / herself and that the material from other sources, if any, is duly acknowledged and no part of the thesis is plagiarised.
- 18.11 The Ph.D. synopsis and thesis shall be submitted in English. However the Ph.D. thesis in the field of Linguistics, History and Fine Arts may be submitted in Tamil Language. A prior recommendation of the Department Research Committee is needed at the time of registration itself to submit the Synopsis and Thesis in Tamil language. For other language subjects, the thesis must be in the respective languages.

## **19. THESIS EVALUATION**

- 19.1 The thesis shall be referred to two examiners (one from India and another from abroad) nominated by the Vice-Chancellor from the panel of examiners recommended by the RAC. The Vice-Chancellor if deems it necessary may also nominate examiners from outside the panel.
- 19.2 The examiners appointed shall evaluate the thesis and report on the merit of the thesis for the award of the Ph.D. degree. Each examiner is expected to give a detailed report on the thesis, apart from a duly filled in proforma for evaluation sent by the Director, DARE.
- 19.3 The examiners shall be requested to send his/her report within 45 days from the date of receipt of the thesis to the Director, DARE. The reports sent by-mail shall be accepted provided the email ID is the official email ID of the examiners.

- 19.4 If an examiner fails to send the report within the stipulated time, the Director, DARE shall send a reminder to him / her immediately after the expiry of the deadline and request him / her to send the report within the next thirty days. If the examiner concerned does not comply even after the extended period, the Director, DARE shall cancel the appointment forthwith and invite the next examiner from the approved panel to evaluate the thesis.
- 19.5 In the event of a request from the examiner(s) for more time for evaluation or receipt of the report after the appointment has been cancelled or postal delay or loss of report, etc., appropriate decision will be taken based on the facts in consultation with the Vice-Chancellor.
- 19.6 The two examiners shall send the individual detailed reports along with the duly filled in proforma to the Director, DARE. The Director will forward the reports to the research supervisor of the scholar.
- 19.7 The supervisor (convener) shall prepare a consolidated report, bringing out the salient points made in the individual reports of the examiners, and place the consolidated report and the examiners' reports before the RAC. After approval of the RAC members, the minutes shall be forwarded to the Director, DARE.
- 19.8 If both examiners unanimously recommend the award of the degree, the candidate will be asked to appear for a public Viva-voce examination.
- 19.9 If both examiners give definite recommendation against the award of the degree, the thesis will be rejected.

- 19.10 If one of the examiners recommends the thesis for the award of the degree and the other examiner rejects the thesis, the thesis shall be referred to a third examiner belonging to the same category (i.e., Indian or foreign) for evaluation.
- 19.11 The third examiner will not be provided with the report of the other two examiners. If the third examiner recommends the award of the degree, the candidate will be asked to appear for a public Viva-voce examination. If the third examiner also does not recommend the award of the degree, the thesis will be rejected.
- 19.12 If the examiner(s) recommends suggestions / corrections / modifications / alterations and does not insist on re-submission, asking the candidate to carry out the corrections / modifications in the thesis, then the candidate will be informed accordingly through the research supervisor. The candidate shall carry out the corrections suggested by the examiners. The supervisor shall furnish a certificate stating that all corrections have been carried out, which shall be endorsed by the RAC, HOD and the Dean. The corrected thesis along with the certificate shall be sent to the Director, DARE, before the Viva-voce examination.
- 19.13 If the examiner(s) recommends revision and resubmission, by one or both the points of revision shall be indicated clearly in the report(s). The necessary corrections shall be carried out by the scholar and the revised version shall be submitted along with the Minutes of RAC meeting for

resubmission of thesis to the Director, DARE, who will in turn send the corrected thesis to the examiner(s) concerned. If the examiner(s) is / are still not satisfied with the revised version, the thesis will be sent to another examiner. If the revision is accepted by the examiners, the Viva-voce examination will be conducted.

## **20. PUBLIC VIVA-VOCE EXAMINATION**

- 20.1 The reports of the examiners shall be made available to the convener (research supervisor) of the Viva-voce board, and the co-research supervisor (if any). The reports shall be placed in the RAC and obtain the approval for the conduct of Viva-voce examination.
- 20.2 The Viva-voce Board shall consist of the research supervisor, co-supervisor, if applicable, the Indian examiner (External Examiner) who evaluated the thesis and the Head of the Department (Internal Member). The research supervisor shall be the convener of the Viva-voce Board. The research supervisor shall consolidate the results of the Viva-voce Examination and communicate to the Director, DARE.
- 20.3 If the Indian (External) Examiner, who evaluated the thesis, is unable / unavailable to conduct the Viva-voce examination, one of the examiners from the panel of Indian examiners submitted shall be appointed by the Vice-Chancellor to conduct the Viva-voce examination.
- 20.4 The Viva-voce examination shall be conducted within six months from the date of receipt of the reports by the examiner. The Viva-voce should not be conducted on Saturday, Sunday and public holidays. The date of Viva-voce examination shall be finalized in consultation

with the external examiner and Head of the Department at least 15 days prior to Viva-voce date and the same shall be communicated to the Director, DARE. The circular for Viva-voce shall be communicated to the Director, DARE, other departments, other Institutions, faculty members and research scholars, at least two weeks prior to the viva-voce examinations. A minimum of **25** members excluding the viva-voce board members shall be present for the Viva-voce examination.

- 20.5 If the Head of the Department happens to be the research supervisor, one of the senior faculty members in the department shall be recommended by the Head of the Department as an Internal Examiner and the same has to be forwarded to the Director, DARE for approval.
- 20.6 A copy of the thesis will be kept in the Department Library for perusal by those interested in the thesis for at least 15 days preceding the conduct of the public Viva-voce examination.
- 20.7 The purpose of the Viva-voce examination is to test the understanding of the scholar on the subject matter of the thesis and the competence in the general field of study. The scholar shall be asked to make a brief presentation before the audience and answer the questions raised by the examiners and the audience.
- 20.8 The Viva-voce examination shall be held in all seriousness befitting the solemnity of an examination and no attempt shall be made to treat it as a mere formality. The candidate and the supervisor shall not indulge in any action that may be perceived as influencing the external examiner.

- 20.9 The minutes of Viva-voce shall contain a comprehensive report including the performance of the candidate, the answers furnished by the candidate to the questions raised by the Indian and Foreign examiners in their reports, the Viva-voce board of examiners as well as by the audience. The proceedings of Viva-voce along with a list of participants with their signature and designation and checklist should be submitted to the Director, DARE through Dean of the Faculty immediately after the Viva-voce examination on the same day.
- 20.10 A candidate who is successful in the public Viva-voce Examination shall be recommended for the award of the Ph.D. degree by the Viva-voce Board of examiners.
- 20.11 If a candidate fails to defend his / her thesis satisfactorily in the Viva-voce examination, the candidate may be permitted to reappear for the Viva-voce after a period of three months.
- 20.12 The Viva-voce board shall recommend one of the following:
- i. that the degree be awarded
  - ii. that the candidate be re-examined in a second Viva-voce examination. (This will be done after a period of 3 months).
  - iii. that the degree be not awarded and the thesis be rejected.
- 20.13 The consolidated recommendation will be placed before the Syndicate for its approval from the date of Viva-voce examination and the Degree for the approved candidates will be awarded in the convocation in person or in absentia.

## **21. AWARD OF Ph.D. DEGREE**

- 21.1 After the thesis is approved by the Syndicate, prior to the actual award of the degree in the Convocation, a certificate of completion of Viva-voce and Provisional Certificate shall be issued on written request from the scholar to the effect that the Degree has been awarded in accordance with the provisions of UGC Regulations, 2016.
- 21.2 The Ph.D. Degree Certificate shall contain the name of the scholar, photo of the scholar and also the title of the thesis along with the name(s) of the Faculty / Faculties and discipline(s). Further, the degree certificate shall also contain the statement “The degree is awarded in compliance with the University Grants Commission Regulations, 2016”.
- 21.3 In the case of the award of the Ph.D. Degree for inter-disciplinary research, the Degree Certificate shall bear the subject of the candidate’s postgraduate degree and the discipline of the department(s) in which the candidate has conducted his/her doctoral research mentioning them as “inter-disciplinary.”
- 21.4 In the event of decease of the research scholar after the submission of the thesis, if both the examiners recommend the thesis for the award with or without corrections, the research supervisor shall submit a consolidated report of the examiners and the degree may be awarded posthumously.

## **22. CANCELLATION OF REGISTRATION**

22.1 The registration of a scholar who has not submitted his / her thesis before the end of the maximum duration including the extension period for the programme as in Clauses 12.1 and 12.2 shall stand cancelled automatically.

22.2 The registration is liable for cancellation, if

- i. The scholar has not paid the yearly fees within the stipulated time.
- ii. Two successive progress reports are not submitted or not satisfactory.
- iii. If the scholar fails to complete the confirmation of provisional registration within two years from the date of registration for the Ph.D. programme.
- iv. Prior permission not obtained for break of study from the Director, DARE.
- v. Does not complete the course work(s) within the stipulated time.
- vi. The scholar misbehaves in the University campus and acts against the rules and regulations of the University.
- vii. The scholar wishes to withdraw from the programme and requests to cancel his / her registration.
- viii. Extension of time (beyond six years) not obtained as in clause 12.2.
- ix. Submission of thesis beyond three months from the date of approval of synopsis by the RAC without prior permission.
- x. Submission of revised thesis incorporating the suggestions of any examiner beyond six months.
- xi. The act of plagiarism involved in the research article / synopsis / thesis.

xii. Communicating with the thesis examiners in any form by the scholar / supervisor / co-supervisor, if applicable / anybody.

xiii. Any violation of the rules and regulations of Ph.D. programme.

22.3 In case, the student requests cancellation of his / her registration, a service charge of Rs. 1000/- will be charged for refund of fee and return of original certificates, provided the candidate withdraws from the programme immediately after admission and has NOT attended any of the classes of marked attendance in the department.

22.4 Students who have joined the Ph.D. programme and with to discontinue need not pay the tuition fees for the subsequent years, but should have paid the fees in full upto the year of study.

22.5 No certificate will be issued unless the candidate has cleared all the arrears of fees, etc., due to the University.

22.6 With regard to any dispute, related to admissions, examinations, remittance of fees, etc., the place of jurisdiction for the purpose of filing a suit or preferring a complaint or taking any legal proceedings against Annamalai University, will be Chidambaram Town only and not any other place.

### **23. PUBLICATION OF THE THESIS**

23.1 The thesis, once submitted, becomes the property of the University.

23.2 In case the research comes under the “classified” category, it shall not be published without prior approval of the Syndicate.

- 23.3 The Syndicate may grant permission for publishing the results/findings based on a written request from the candidate through the research supervisor.
- 23.4 In case the thesis does not fall under the “classified” category, the research scholar may publish his/her thesis results after obtaining necessary permission from the Vice-Chancellor.
- 23.5 Two copies of the thesis in its published form must be submitted to the office of the Director, DARE.

#### **24. RESIDENTIAL & ATTENDANCE REQUIREMENTS**

The Research Supervisor concerned will decide what constitutes “residence” and where the residential requirement is to be fulfilled, considering the nature of the study and its requirements.

- 24.1 A Ph.D. scholar may be allowed to stay in the Hostel for a maximum of five years from the date of admission to the Ph.D. programme.
- 24.2 Full-time scholar will sign the attendance register maintained in the Department on all working days. He / She is expected to put in a minimum of 80% attendance both for the course work examination, and submission of thesis, failing which the scholar will not be permitted to write the coursework examination and to submit the thesis.
- 24.3 Part-time External Scholars including those with an M.Phil. Degree are required to mark attendance maintained by the Department for a minimum compulsory period of 30 days per annum during their period of research.

- 24.4 Part-time External scholars are required to visit Annamalai University campus on a specified date to appear before the Research Advisory Committee (RAC) for review of the progress of their research work.
- 24.5 The attendance certificate shall be sent to the Director, Directorate of Academic Research by the Head of the Department concerned.

## **25. LEAVE RULES**

- 25.1 Leave for a maximum period of 30 days in a year in addition to public holidays may be availed by Ph.D. Students with the approval of the Research Supervisor. However, they are not entitled to any other vacation.
- 25.2 Female Ph.D Scholars may be provided maternity leave / child care leave for upto 240 days in the entire duration of the programme

## **26. THE ACT OF PLAGIARISM**

- 26.1 In the case of scholars who have committed the act of plagiarism in the Synopsis / Thesis / Journal Publication, he / she shall be called for enquiry at the DARE and shall be advised to rectify the plagiarism and resubmit the documents with appropriate penalty. If the scholar fails to rectify the plagiarism in the documents, the Thesis / Degree shall be forfeited and his / her research registration shall be cancelled and also he / she shall be debarred to register for any other programme in the University.

- 26.2 For the abetment of the above such action, the recognition of his / her supervisor shall be withdrawn for a period of five years and he / she shall be debarred from guiding the scholars for any research programme in the University till the end of the period.
- 26.3 If any scholar has committed an act of self-plagiarism in the publications and ascertained by the committee constituted by the Vice-Chancellor, such work shall not be allowed in his / her thesis and the scholar shall be fined upto Rs. 50,000/- with a warning to the supervisor. The Synopsis / Thesis of such scholar shall be accepted only based on a new publication in a refereed Journal (as applicable). If plagiarism is detected in the Publication / Thesis of any other scholar under the same supervisor, the recognition of his / her Supervisorship shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars for any research programme in the University till the period is over.
- 26.4 If a plagiarism is observed in the later stage at any point of time, the Ph.D. Degree awarded to the scholar shall be withdrawn.

## **27. REPOSITORY OF THE THESIS**

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. Degree, the Institution concerned shall upload the electronic version of Ph.D. thesis to the Shodhganga - INFLIBNET, so as to make it accessible to all Institutions / Colleges and one copy of the thesis should be submitted to the department library and another copy of the thesis should be submitted to the University General library.

## **28. ETHICAL & LEGAL REQUIREMENTS**

28.1 All research involving use of all data and material relating to human subjects as well as laboratory animals must be approved by the appropriate Ethical Committee constituted by the University. In practice this means that no research in this line can be undertaken until all the required approvals and authorisations have been given from the Appropriate Ethical committees.

28.2 It is the responsibility of the research supervisor and the research scholar to obtain approval from the relevant committee before initiating the research work.

28.3 The research supervisors and scholars shall follow the regulations stipulated by appropriate bodies for undertaking research. Annamalai University has constituted Institutional Committees to scrutinize and approve research proposals.

28.3.1 Institutional Psychology Research Ethics Committee (IPREC) for research in Psychology and Institutional Humanities and Social Sciences Research Committee (IHSSRC) for research in Arts, Humanities and Social Sciences or cognate areas shall scrutinize research proposals to ensure that the dignity, human rights, health, safety and privacy of research participants are protected, that valid consent has been obtained and that the information gained by the research is not outweighed by any costs to the subject in time, effort, discomfort or potential risk. These Committees will also explore potential ethical issues that may arise as a result of the proposed research work.

- 28.3.2 Institutional Technology Ethics Committee (ITEC) will address ethical issues specific to new and emerging technologies in terms of impact on the environment and human well-being.
- 28.4 **Regulations for Studies on Plants:** All research works carried out on transgenic plants shall follow the guidelines laid down by the Department of Biotechnology ([http://dbtindia.nic.in/guidelines\\_98.pdf](http://dbtindia.nic.in/guidelines_98.pdf)).
- 28.5 **Regulations for Field work:** Permission for field work shall be obtained from the Departments of Forests, Fisheries, National Biodiversity Authority, Wildlife, etc., as appropriate.
- 28.6 **Regulations for Studies on Laboratory Animals:** The Institutional Animal Ethics Committee (IAEC) shall examine proposals involving research on laboratory animals.
- 28.6.1 The proposals shall be submitted to the IAEC for evaluation and approval in the prescribed format <http://envfor.nic.in/division/committee-purpose-control-and-supervision-experiments-animals-cpcsea-1#RF>.
- 28.6.2 The conduct of animal studies shall follow the rules for Good Laboratory Practice established by the Committee for the Purpose of Control and Supervision on Experiments on Animals (CPCSEA) under the guidance of an authorized Veterinarian.

- 28.6.3 Research scholars engaged in scientific experiments on animals shall act in conformation with the provisions of the Prevention of Cruelty to Animals Act, 1960 and breeding of and experiments on animals (Control and Supervision Rules, 1998 Act amended). These provisions are enforced by the CPCSEA.
- 28.7 **Regulations for Biosafety:** Biosafety rules encompass manufacture, import, export, and storage of micro-organisms, Genetically Modified Organisms (GMOs), and Gene-technology products as supplemented by the Biotechnology Safety Guidelines issued by the Department of Biotechnology (DBT).
- 28.8 **Regulations for Human Sampling:** The Institutional Human Ethics Committee (IHEC) will scrutinize the use of human volunteers and clinical samples for research. Sampling of human tissue and biological fluids shall conform to the Ethical guidelines for biomedical research on human participants issued by the Indian Council of Medical Research, New Delhi (<http://www.icmr.nic.in/ethical.pdf>) (2006). With the burgeoning biomedical and pharmaceutical industry, there is a growing interest in obtaining human tissues for research, validation and commercial purposes. Researchers must be aware of the ethical and legal issues involved in using human tissues and comply with the Human Tissue Act (2004) and consent must be obtained.
- 28.9 Where research is conducted in collaboration with another institution outside the University, the ethics policies of those institutions should be appended to any proposal to be considered by the Research Ethics Committee of the University, provided the experiments are carried out in this University. If the experiments are carried out in the collaborating institution, the procedure may be reversed.

## **29. RESEARCH ETHICS**

Annamalai University is committed to undertake research with impeccable scientific integrity and in conformity with the accepted code of conduct on Good Research Practices (GRP). GRP is concerned with the organizational process and the conditions under which academic research is planned, performed, monitored, recorded, archived and reported. This requires appropriate training and supervision to ensure the highest achievable standards for conducting research. All Research Scholars and Supervisors shall follow these guidelines while planning and executing research.

### **29.1 Scientific Integrity**

All researchers shall maintain a very high degree of integrity with respect to all aspects of research including application for funding, designing and conducting experiments, analysing data, interpretation of results and publication of results.

### **29.2 Ethical and Legal Requirements**

All researchers must be aware and comply with the ethical and legal requirements relating to human participants, animals disclosures of personal information, biological material transfer and testing, and biodiversity protection before undertaking research. All researchers are expected to follow the standard procedures for conducting research laid down by relevant scientific and professional bodies.

### **29.3 Conflict of Interest**

A conflicting interest exists when professional judgement concerning a primary interest such as scientific knowledge may be influenced by a secondary interest such as financial gain, personal advancement or personal rivalry. Conflicts of interests may influence interpretation of results. Examples of potential conflicts of interest include employment, consultancies, stock ownership, honoraria, paid expert testimony, patent applications/registrations, and grants or other funding. All conflicts of interest, perceived, potential or actual, must be declared.

### **29.4 Safety**

A researcher must be aware of the safety precautions and potential hazards of materials and equipment, use, storage and disposal of chemicals, how to deal with spills and accidents and requirement for vaccinations when dealing with biological samples. Equipment used to generate data should be calibrated and serviced regularly to ensure optimal and reproducible performance. A Standard Operating Procedure (SOP) and easily accessible instructions for safe shutdown in case of emergency should be maintained for each equipment.

### **29.5 Economy**

All researchers shall exercise the principle of economy in the use of resources including infrastructure facilities, equipment and consumables. Regular review meetings shall be conducted by the Research Advisory Committee to assess the progress of research and to decide stop further experiments.

## **29.6 Documentation of Data**

- 29.6.1 All data must be recorded promptly, accurately, legibly, indestructibly, and signed and dated by the Research Scholar and countersigned by the Supervisor. Confidentiality is important for data publication and protecting intellectual property.
- 29.6.2 All raw data, documents, protocols, specimens and reports shall be retained and archived by the research supervisor. Data must be retained intact for a period of at least 7 years from the date of any publication. Proper documentation of data will help in establishing ownership rights, and provide proof against charges of cheating or falsification.

## **29.7 Publication**

Annamalai University encourages researchers to publish research data while emphasizing the paramount importance of quality over quantity. All researchers shall refrain from “fudging” and fabricating data. If an error is detected after publication, the corresponding author shall request the journal to publish an erratum. If there are concerns and serious doubts about the authenticity of the data, the authors shall retract the paper from the journal. Any deviation from GRP and indulgence in research misconduct will be dealt with severely as detailed in the ensuing section.

## **29.8 Dissemination**

Results that are published may be disseminated, provided there is no infringement on any Intellectual Property Rights (IPR). However, researchers must exercise utmost caution in discussing work that is incomplete, unpublished, or pending patent application.

## **30. RESEARCH MISCONDUCT**

30.1 Annamalai University policy on defining and dealing with research misconduct adheres to national and international conventions on the issue and the policy statement issued by the Govt. of India on addressing situations related to national integrity, which is the foundation of research.

30.2 Research or scientific misconduct is defined as fabrication, falsification and plagiarism, self-plagiarism, or deception in proposing, carrying out or reporting research results. However, honest error or differences of opinion cannot be classified as research misconduct.

30.2.1 Fabrication involves making up results and publishing them. A minor form of fabrication is where references are included to give arguments the appearance of widespread acceptance, but are actually fake, and/or do not support the argument.

30.2.2 Falsification refers to manipulation of research materials, equipment, or processes or changing or omitting data or results such that the research is not accurately represented in the research record.

- 30.2.3 Plagiarism involves the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Plagiarism also includes deliberate failure to appropriately credit prior work by others thereby giving a false impression of priority (citation plagiarism). Self-plagiarism is also considered as scientific misconduct.
- 30.2.4 Ghost-writing, the practice of commissioning an anonymous writer, is also regarded as a form of plagiarism, because it undermines the integrity of scientific publication system.
- 30.2.5 **Unacceptable Authorship**
- Guest authorship refers to granting authorship out of respect for an individual, or because it will increase the likelihood of publication, credibility, or status of the work.
- Gift authorship is credit offered from a sense of obligation, or anticipated benefit, to an individual who has not contributed to the work. Ghost authorship is denying authorship to an individual who has made substantial contributions to the research or writing of a manuscript.
- 30.2.6 Violation of ethical standards in human and animal experiments.
- 30.2.7 Suppression or failure to publish findings adverse to the researcher's interests.

30.2.8 Failure to follow established protocols if this failure results in unreasonable risk or harm to humans or the environment and facilitating of misconduct in research by collusion in, or concealment of, such actions by others.

30.2.9 Intentional, unauthorized use, disclosure or removal of, or damage to, research-related property of another, including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.

### **31. INVESTIGATION OF RESEARCH MISCONDUCT**

31.1 A committee duly constituted by the University will investigate the complaints of alleged research misconduct by the research scholars and/or supervisors.

31.2 The following is the composition of the committee to investigate the complaints of alleged research misconduct by the research scholars and/or supervisors.

<b>Designation</b>	<b>Members</b>
The Director, DARE	Convener
The Dean of the Faculty concerned	Member
Head of the Department or a senior Professor in the Department	Member
Head of the Department from the faculty concerned (other than the scholar department) (nominated by the Vice-Chancellor)	Member
One Lady Faculty member (nominated by the Vice-chancellor)	Member

31.3 Confidentiality will be maintained during the investigation including the identity of the individual registering the complaint (complainant).

- 31.4 If the misconduct is unintended, due to an error in interpretation, or the charges are baseless, the complaint will be dismissed. However, a report will be filed in the office.
- 31.5 If the complaint is credible, the committee, after informing the Ph.D. scholar and research supervisor against whom the complaint has been made (the subjects), will assess the authenticity of the charge, and the nature of the misconduct based on the material evidence available.
- 31.6 The person (scholar / supervisor) will be allowed to defend himself / herself. However, he / she shall provide the Committee access to reports, raw data, electronic records, manuscripts and any other material relevant to the investigation.
- 31.7 The committee shall complete its investigation and submit its report on the recommended course of action within a period of thirty days.
- 31.8 Annamalai University regards research misconduct as a serious offence and any member of staff / students may raise bonafide concerns confidentially and without fear of suffering a detriment. However, if the allegations prove to be made frivolously or with malicious intent, formal action against the complainant will be initiated.
- 31.9 If the charges of misconduct are proved, the subject(s) will be notified and disciplinary action initiated.

## **CHAPTER-III**

### **TRANSITORY PROVISIONS**

#### **32. AMENDMENTS TO THE ORDINANCE**

This ordinance is subject to modifications or amendments as and when situation warrants from time to time by the Syndicate, based on the recommendations of the Academic council.

#### **33. INTERPRETATION OF THE ORDINANCE**

If any dispute arises in the interpretation of the ordinance, the decision of the Syndicate shall be final.

## **ORDINANCE**

### **PART – IV**

### **DOCTOR OF LETTERS (D.Litt.) /**

### **DOCTOR OF SCIENCE (D.Sc.)**

#### **Preamble**

- (1) In accordance with the provisions of Section 31 (b) of the Annamalai University Act 2013, the following Annamalai University Ordinance governing the award of the Degree of Doctor of Letters (D.Litt.) / Doctor of Science (D.Sc.) is prepared with the approval of the Syndicate.
- (2) The University shall offer facilities for Post-Doctoral research leading to the award of D.Litt. / D.Sc. Degrees in the following Faculties, in accordance with Section 31 (b) of the Annamalai University Act 2013 :-
  - ❖ Arts
  - ❖ Science
  - ❖ Marine Sciences
  - ❖ Indian Languages
  - ❖ Engineering and Technology
  - ❖ Education
  - ❖ Fine Arts
  - ❖ Agriculture

#### **Eligibility**

- (3) A candidate who has obtained the Degree of Doctor of Philosophy of this University or of any other University recognized by the Syndicate as equivalent thereto shall register for the Degree of D.Litt. / D.Sc., the highest degree awarded by Annamalai University.

(or)

A candidate who has obtained the Degree of Doctor of Philosophy of the University / Research Institutions outside India, provided that such Institutions are recognized and accredited by the appropriate bodies, shall register for the Degree of D.Litt./D.Sc. of Annamalai University :

Provided that the candidate is doing his / her Post-Doctoral research for a minimum period of ten years after obtaining the Ph.D. Degree in the respective subject.

- (4) The publications submitted by him / her for consideration for the award of D.Litt. / D.Sc. Degree are substantially the result of Post-Doctoral research work done
- (5) For Science / Technology candidates, atleast ten publications (in the same subject of specialization in which he / she is planning to pursue D.Sc.) of his / her are to be in journals with impact factor of 1.0 and above. The average of the impact factor of the journals in which ten articles have been published should be not less than 1.5
- (6) For candidates in Humanities / Languages atleast ten Publications should be of good quality and in reputed/peer reviewed journals/or by good reputed publishers in case of books.

### **Registration**

- (7) A candidate who has fulfilled the eligibility criteria for admission to D.Litt. / D.Sc. degree shall apply in the prescribed application form on any working day in the month of January or July. The application should be routed through the Head of the Department and Dean of the Faculty concerned. A committee constituted by the Vice-Chancellor shall scrutinize the applications and the final selection shall be made by the Vice-Chancellor.

## **Fees**

- (8) A candidate selected for admission shall pay the registration and other fees as may be prescribed by the Syndicate.

## **Submission of Thesis**

- (9) The publications or thesis submitted by the candidate for consideration for the award of D.Litt. / D.Sc. shall consist of the Post-Doctoral research contribution of the candidate in a specified area or in a closely related field.
- (10) The thesis shall not contain any portion / portions for which a degree or diploma has already been awarded. The thesis must be on a main theme / area of specialization and it may be in the form of a published work or published papers or books that contain distinct contribution to scientific knowledge.
- (11) Reprints of the published papers enclosed in the thesis shall be on the main theme of the thesis and no unconnected papers shall be submitted. The candidate shall indicate in the preface of the thesis that a series of connected papers submitted in support of the main thesis forms the basis of the main research work, which he/she has indicated in the application for registration. A minimum of five full research papers published in the referred national and international journals by the single / first / corresponding author (candidate) should be enclosed in the thesis apart from other papers. In case research articles with more than one author are enclosed, the candidate shall clearly state his / her contribution to the articles. The candidate shall also submit a certificate from the co-author / authors of such articles about his / her contribution.

- (12) The candidate should give a declaration to the effect that the thesis is an original contribution (of postdoctoral research) to the advancement of knowledge in the field of his / her specialization.
- (13) The candidate shall submit D.Litt. / D.Sc. thesis only once and no resubmission or registration is permitted.

### **Evaluation of Thesis and In-camera Viva-voce Examination**

- (14) Each candidate shall submit five copies of the thesis to the Controller of Examinations duly forwarded by the Head of the Department and the Dean of the Faculty concerned along with the prescribed fee.
- (15) A panel of experts for adjudication of D.Litt. / D.Sc. shall be obtained by the Vice-Chancellor from an expert in the theme of the thesis. The panel should consist of six names from outside India and six from India but outside of Tamil Nadu. The Vice-Chancellor shall appoint three examiners from the panel of experts, two from outside India and one from India who will also be the convener. Thus, there shall be a Three Member Panel of Experts that functions as examiners for the evaluation of Thesis.
- (16) The candidate shall be awarded the Degree, only if all the three examiners commend the work for the award. All the three examiners should also take into account the claims of the candidate with regard to the impact factor of the journals in which his / her research papers have been published, and included as part of the D.Litt. / D.Sc. thesis.

- (17) Then the candidate shall be asked to appear for an **In-camera** Viva-voce Examination. The Convener of the panel or a nominee of the University selected by the Vice-Chancellor shall conduct the Viva-voce Examination where the candidate shall clear the doubts and answer the questions raised by the examiners.

### **Award of Degree**

- (18) After receipt of the evaluation reports from the Three Member Panel of Experts and the successful completion of Viva-voce Examination, a decision will be taken as to whether the candidate has qualified for the Degree or not. Then the list of qualified as well as non-qualified candidate(s) shall be placed before the Syndicate for its approval.

## **TRANSITORY PROVISIONS**

### **Amendments to the Ordinance**

- (19) These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, in accordance with the guidelines issued by the UGC, based on the recommendations of the Academic Council, as and when situation warrants.

### **Interpretation of the Ordinance**

- (20) If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## **ORDINANCE**

### **PART – V**

## **SPONSORED RESEARCH AND CONSULTANCY**

### **I. PREAMBLE**

- 1.1 In accordance with the provisions of Section 31 (k) of the Annamalai University Act 2013, the following Annamalai University Ordinance on Sponsored Research and Consultancy is prepared with the approval of the Syndicate.
- 1.2 Annamalai University (AU) with its vibrant research focus and technical expertise has attracted funds from a wide spectrum of national and international agencies. These regulations have been framed to systematize procedures to facilitate research and development (R & D) activities that would help generate resources, establish national and international collaborations, foster academy-industry interaction, address issues of social and national relevance, spawn inventions, extend services to social organizations, lead to value addition for faculty and students in the academic world, and most importantly, provide visibility for the University in academic and R & D activities.
- 1.3 The Rules and Regulations set forth in this document will be referred to hereafter as AU Project Rules; and the proposals submitted by a Department / Centre / Faculty member as AU Project Activity. These guidelines will be followed by faculty undertaking Projects and Consultancies.

### **2. OBJECTIVES**

The objectives of these regulations are to

- ❖ Encourage Faculty members to undertake projects that serve to advance knowledge, address societal needs, integrate applied knowledge for teaching, generate data for research, and stimulate innovation.

- ❖ Affirm policies for sponsored research and consultancies.
- ❖ Address potential conflicts of commitment between primary academic duties of the faculty and consultancy activities.
- ❖ Safeguard the intellectual property of Annamalai University and its Faculty.
- ❖ Inculcate Good Research Practices (GRP) based on scientific integrity and research ethics.

### 3. DEFINITIONS

- 3.1 University refers to Annamalai University.
- 3.2 **Project** refers to sponsored research projects or industrial consultancy projects or routine testing projects.
- 3.3 **Sponsored R&D Projects** are those sponsored wholly or partially by Government, public, private, national, international agencies or autonomous bodies. These cover technical expertise, basic science, process design and process modelling and simulation, application of computational methods, software development, engineering / production / fabrication of product for testing / trials / evaluation or testing of products / creation of infrastructural facilities etc. These could also be in advanced areas of research resulting in upscaling, technology transfer, and generation of intellectual property.
- 3.4 **Grant-in-aid R&D Projects** are those funded by government departments and international bodies for supporting basic or applied R&D, creating new facilities, providing infrastructure, conducting surveys, maintaining large, nationally important R&D groups, generating databases, and developing material / data repositories. Synonymous with Sponsored Project.

- 3.5 **Consultancy Projects** are projects sponsored by industry/ organization within mutually agreed scope. This involves assistance in solving specific problems or performing a specific task in return for pecuniary consideration. These could be both Research and Development (R & D) and knowledgebase projects.
- 3.6 **Technical Services** refers to those services for which the rates are fixed by the department. The concerned Head of the Department will be the PI.
- 3.7 **Sponsor** means the organization that offers a Project to the investigator and provides necessary financial support for successful completion of the project in time.
- 3.8 **Client** refers to an industry / organization that sponsors a consultancy project.
- 3.9 **Principal Investigator (PI)** is a member of the faculty of the University with expertise and competence to conduct research projects. An Emeritus Professor may also be the PI. The term PI is most often used synonymously with PC.
- 3.10 **Principal Consultant (PC)** is a member of the faculty of the University with expertise and competence to conduct consultancy work.
- 3.11 **Co-Principal Investigator / Co-Investigator** is a person co-opted by the Principal Investigator from amongst the faculty within the University or from other institutions to work jointly with him / her.
- 3.12 **Project Staff** means a person appointed in conformity with the guidelines to work on a project.
- 3.13 **Memorandum of Understanding (MoU) / Memorandum of Agreement (MoA)** is a document containing clauses for undertaking research projects and signed by both partners, i.e. Annamalai University and National / International Agencies / Industry / NGOs/ Academic & Research Institutions.

- 3.14 **Dean** means Dean of the concerned faculty to which the investigator belongs.
- 3.15 **Department** means any of the academic departments and academic centres at the University.
- 3.16 **Director of Research** means a member of the faculty who monitors project proposals and progress.
- 3.17 **Intellectual Property** encompasses patents, copyright, trademark, trade secrets, plant variety protection, design and computer software, and living organisms.

#### 4. DUTIES OF THE PRINCIPAL INVESTIGATOR (PI)

- 4.1 The PI of the project will be responsible for the following:
- [1] Formulating the project proposal.
  - [2] Implementing the project.
  - [3] Co-opting Co-Principal Investigator / Co-Investigator(s).
  - [4] Executing the project.
  - [5] Communicating with the sponsor.
  - [6] Ensuring that head-wise and total budgetary allocation is not exceeded
  - [7] Maintaining stock registers.
  - [8] Maintaining records of Field work / Lab work done
  - [9] Completing the project work within the sanctioned grant and time frame.
  - [10] Submitting the Annual and Final Reports.
  - [11] Maintenance of accounts and submission of Utilization Certificate & Statement of Expenditure
- 4.2 In the absence of the PI, whenever needed, the Co-Principal Investigator / Co-Investigator will undertake the responsibility of running the project as per the advice of the Vice-Chancellor.

- 4.3 Emeritus Fellows may be appointed as PIs if the sponsoring agency does not have any objection. However, they will be required to have a Co-Investigator, who is a permanent faculty of the University.
- 4.4 Retired faculty shall not claim laboratory space on par with existing faculty. They shall share laboratory space with the Co-Investigator or a common facility.

## **5. ORGANIZATIONAL STRUCTURE AND DUTIES OF THE DIRECTORATE OF RESEARCH AND DEVELOPMENT**

- 5.1 The Directorate of Research and Development of Annamalai University shall be headed by the Director of Research and Development (henceforth called the Director). The Director shall be appointed by the Vice-Chancellor from among the category of Senior Professors in the Faculties of Annamalai University, in accordance with Statute No. 31 (b) of the Statutes of Annamalai University.
- 5.2 The tenure of the Director shall be for a period of three years and eligible for reappointment.
- 5.3 It shall be the power of the Vice-Chancellor to call the Director back to his / her parent Department at any time, if it deems fit to do so.
- 5.4 The Directorate shall function in an office in a prominent location in the University with good infrastructure facilities including telephone, fax, computer and internet.
- 5.5 An Executive Committee comprising twelve members of AU representing different faculties shall assist the Director. The Director, the Chairperson of the Executive Committee, shall convene a meeting of the committee once a month or as and when necessary.

- 5.6 A Research Advisory Council consisting of 20 members shall meet twice a year to analyse the policies and Programmes of the Directorate of Research. The Vice-Chancellor shall be the Chairperson of the Advisory Council with the Director as its Member-Secretary, Deans of all Faculties, Four members co-opted from the Executive Committee as the ex-officio members and four representatives from a Research Institution / Industry / NGOs / Community as members.
- 5.7 The Directorate of Research and Development will have the following functions:
- (1) to facilitate Sponsored Projects and Consultancies.
  - (2) to monitor Project appointment and purchases.
  - (3) to assess progress of projects if any flaw in operation is pointed out by the funding agency.
  - (4) to assess progress of Consultancies
  - (5) to create database of funding agencies and disseminate the information
  - (6) to bring out brochures and newsletters on training Programmes, research output of faculty and consultancy activities.
  - (7) to establish Ethical Committees.
  - (8) to assist in signing MoUs, file patents and establish IPRs.
  - (9) to foster Academy-Industry interaction.
  - (10) to involve Scientists from research Institutions and industries in the academic Programmes and curriculum development.
  - (11) to ensure the quality of research.

## **II- SPONSORED RESEARCH**

### **6. PROJECT PROPOSAL**

6.1 **R & D Project Format:** The project proposal shall adhere to the format prescribed by the funding agency concerned.

6.2 If collaboration with other institutions / organizations is envisaged, the nature, duration, and financial implications shall be indicated.

6.3 The PI should state clearly if any extra space is required for the project. The Head of the Department will certify the feasibility of carrying out the project within the existing space or availability / non-availability of extra space.

#### **6.4 Terms and Conditions for NGO - Sponsored Projects**

If the project is sponsored by a non-government agency, the following documents shall be attached with the proposal:

- ❖ A statement on terms and conditions including patent rights and royalties.
- ❖ If an MoU is to be signed, the exact terms and conditions shall be specified.

#### **6.5 International Projects**

There is an increasing interest in the utilization of Annamalai University's knowledgebase / expertise by foreign clients.

6.5.1 A Foreign Client is deemed to be

- i) A juridical entity registered / situated outside India
- ii) A company registered in India with more than 50% equity holding by foreign entity.
- iii) All UN and World Organisation / Bodies such as UNDP, UNIDO, UNESCO, UNU, World Bank, IUCN, MFF, UNEP-GEF etc.
- iv) NRI client seeking to utilise / exploit knowledgebase of Annamalai University abroad.

6.5.2 If the grant application is being sent to a foreign agency prior permission shall be obtained from the Government of India before submitting the proposal. The PI should submit the proposal under the agreement for security and sensitivity clearance in the prescribed format.

6.5.3 The Government of India guidelines / instructions on the subject (vide O.M. No.1/116/5/98-TS-dated 21 Dec., 1999) specifies all projects involving foreigners / foreign collaboration in any form need a first level scrutiny from security and sensitivity angles by the concerned Ministry for clearance by the Secretary of the concerned Ministry / Department or a High-Level Committee of the Govt. of India depending upon the nature of the project.

All proposals for undertaking projects involving foreigners / foreign collaboration by AU should obtain security and sensitivity clearance of Competent Authority after due diligence and scrutiny by the Head of the Department, Dean of the Faculty, and Director of Research / Registrar.

6.6 All project proposals shall be forwarded through the Head of the respective Department, Dean of the respective Faculty, the Director of Research and Registrar.

6.7 *Before forwarding the project to the funding agency it is important to examine aspects of redundancy, intellectual property, and ethics. It shall be ascertained whether the equipment requested is already existing within the department / Central Instrumentation facility.*

6.8 Strict confidentiality will be maintained at all levels, in scrutiny of proposals to protect the intellectual property of the PI.

## **7 PROJECT IMPLEMENTATION**

### **7.1 Project Sanction**

Once the project is sanctioned by the funding agency, the PI shall send a copy of the sanction letter indicating the total amount sanctioned and the break up into different expenditure heads. The funds are generally sent to the Registrar by the funding agency. If the PI receives the cheque, it shall be immediately dispatched to the Registrar. Order for implementation of the project shall be given to the PI by the Registrar.

### **7.2 Project Start Date**

The date of start of the project will be the date of receipt of the first installment or the date specified by the funding agency.

### **7.3 Project Identification Number**

7.3.1 After the project is sanctioned, a Project Identification Number (PIN) will be assigned. The copy of the forwarding letter with the PIN will be sent to the PI. This PIN will be used for all administrative and financial dealings after the project is sanctioned.

7.3.2 Suggested PIN: XXX-XXX-XX(X)-XXX-XXXX-XXXX. The first three digits identify the Faculty, the second three digits the Department, third two(three) digits the faculty member's ID number, fourth three digits the funding agency, next four digits the year of funding and the last digit the grant number.

7.3.3 For example, the PIN, SCI-CHE-1584-DST-2013-1234 will indicate the DST project of Faculty member with Employee ID No. 1584, of Chemistry Department in the Science Faculty.

## 8. ETHICAL CLEARANCE

- 8.1 All projects involving use of all data and material relating to human subjects as well as laboratory animals must be approved by the appropriate Ethical Committees constituted by the University. In practice this means that no research in this line can be undertaken until all of the required approvals and authorizations are obtained from the appropriate ethical committees.
- 8.2 It is the responsibility of the PI to obtain approval from the relevant committee(s) before initiating the research work.
- 8.3 The PIs and Project Staff shall follow the regulations stipulated by appropriate bodies for undertaking research. Annamalai University has constituted Institutional Committees to scrutinize and approve research proposals.
- 8.4 *Institutional Psychology Research Ethics Committee (IPREC)* for research in Psychology and *Institutional Humanities and Social Sciences Research Committee (IHSSRC)* for research in the arts, humanities and social sciences or cognate areas shall scrutinize research proposals to ensure that the dignity, human rights, interests, health, safety and privacy of research participants is protected, that valid consent has been obtained, and that the information gained by the research is not outweighed by any costs to the subject in time, effort, discomfort or potential risk. These Committees will also explore potential ethical issues that may arise as a result of a proposed project.
- 8.5 *Institutional Technology Ethics Committee (ITEC)* will address ethical issues specific to new and emerging technologies in terms of impact on the environment and human well-being.

- 8.6 *Regulations for Studies on Plants:* All research works carried out on transgenic plants shall follow the guidelines laid down by the Department of Biotechnology ([http://dbtindia.nic.in/guidelines\\_98.pdf](http://dbtindia.nic.in/guidelines_98.pdf)).
- 8.7 *Regulations for Field work:* Permission for field work shall be obtained from the Departments of Forests, Fisheries, National Biodiversity Authority, Wildlife etc., as appropriate.
- 8.8 *Regulations for Studies on Laboratory Animals:* The Institutional Animal Ethics Committee (IAEC) shall examine proposals involving research on laboratory animals.
- a) The proposals shall be submitted to the IAEC for evaluation and approval in the prescribed format that can be downloaded from the University website.
  - b) The conduct of animal studies shall follow the rules for Good Laboratory Practice established by the Committee for the Purpose of Control and Supervision on Experiments on Animals (CPCSEA) under the guidance of an authorized veterinarian ([https://www.aaalac.org/resources/SOP\\_CPCSEA.pdf](https://www.aaalac.org/resources/SOP_CPCSEA.pdf)).
  - c) Project Staff engaged in scientific experiments on animals shall act in conformation with the provisions of the Prevention of Cruelty to Animals Act, 1960, and breeding of and experiments on animals (Control and Supervision Rules, 1998 Act amended). These provisions are enforced by the CPCSEA.
- 8.9 *Regulations for Biosafety:* Biosafety rules encompass manufacture, import, export, and storage of microorganisms, Genetically Modified Organisms (GMOs), and gene-technology products as supplemented by the Biotechnology Safety Guidelines issued by the Department of Biotechnology (DBT).

8.10 *Regulations for Human Sampling:* The Institutional Human Ethics Committee (IHEC) will scrutinize the use of human volunteers and clinical samples for research. Sampling of human tissue and biological fluids shall conform to the *Ethical guidelines for biomedical research on human participants* (2017), issued by the Indian Council of Medical Research, New Delhi ([https://www.icmr.nic.in/sites/default/files/guidelines/ICMR\\_Ethical\\_Guidelines\\_2017.pdf](https://www.icmr.nic.in/sites/default/files/guidelines/ICMR_Ethical_Guidelines_2017.pdf)).

Ethical Clearance for human studies, details of information to be provided to participants of a research study and the informed consent form and rules governing clinical trials shall comply with the IHEC guidelines and ICMR guidelines (<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5372399/>).

With the burgeoning biomedical and pharmaceutical industry, there is a growing interest in obtaining human tissues for research, validation and commercial purposes. Researchers must be aware of the ethical and legal issues involved in using human tissues and comply with the Human Tissue Act (2004).

8.11 Where research is being conducted in collaboration with another institution outside the University, the ethics policies of those institutions should be appended to any proposal to be considered by the Research Ethics Committee.

The PI will be solely responsible for any legal issues that may arise in implementation of the projects in general and the international ones in particular.

## **9. APPOINTMENT OF PROJECT STAFF**

Attempts shall be made to hire suitable Project Staff as soon as possible.

### **9.1 Advertisement**

9.1.1 Wide publicity shall be given for appointment of Project Staff.

9.1.2 Appointments for less than 6 months need not be advertised.

9.1.3 Appointments for more than 6 months shall be advertised / circulated to various Universities and research institutions / uploaded in the University website as per the requirement of the Funding agency.

9.1.4 Posts for more than one year need to be advertised in the Classified Column of a national newspaper, appropriate journals such as Current Science / Economic & Political Weekly, and professional websites. The advertisement shall be displayed on the University Website for at least 15 days. Advertisements in newspapers shall be brief and at least 15 days must be allowed for the candidates to respond.

### **9.2 Minimum Qualifications and Emoluments**

9.2.1 Generally, grant agencies specify the minimum qualifications for the sanctioned positions and these shall be adhered to. If the minimum qualifications are not indicated, Annamalai University or Govt. norms shall be followed.

9.2.2 The emoluments for Project positions are subject to change and the latest revised scales specified by the grant agency may be followed. Project staff are entitled to House Rent Allowance (HRA) if the funding agency has sanctioned the same.

9.2.3 The minimum qualifications for the project personnel will be as prescribed by the Funding agency. The qualification for Field / Project / Technical Assistants shall be decided by the PI.

### 9.3 Selection Committee

9.3.1 A Selection Committee shall be constituted for selection of the candidates in accordance with the norms laid down by the funding agency.

9.3.2 The Selection Committee for Projects shall comprise the following members:-

S. No.	Designation	Position
1	Head of the Department	Chairperson
2	One Professor from the Department nominated by the Vice-Chancellor	Member
3	Subject Expert – Other Department / Institute	Member
4	Principal Investigator	Convener
5	Co-Investigator	Member

### 9.4 Interview

9.4.1 The date for the interview shall be fixed in consultation with the members of the Selection Committee.

9.4.2 The interview letters must be mailed to the candidates well in advance.

9.4.3 The Subject Expert (external member) shall be paid TA/DA and sitting fee as per University norms from the project funds.

9.4.4 Project Staff admitted to Ph.D. Programme will be governed by both the Projects and Ph.D. ordinances.

9.4.5 After the interview, the Minutes of the Selection Committee meeting shall be sent to the Registrar with the following details:

- ❖ Name of the post
- ❖ Number of candidates called for the interview
- ❖ Number, names, and qualifications of the candidates who appeared for the interview
- ❖ Name of the candidate(s) selected for the post(s) and the emoluments.
- ❖ Wait-listed candidates

9.4.6 The Committee may also recommend if the candidate can register for Ph.D. if he / she fulfils the admission requirements of AU.

## 9.5 **Appointment Conditions**

9.5.1 The appointment of all Project Staff shall be on contract basis, and the letter should indicate the duration, and the terms and conditions of the appointment. Furthermore, it shall be made clear that the appointment is purely temporary and no claim may be made for regular appointment.

9.5.2 The term of appointment shall be for a maximum period of one year at a time or until the end of the project, whichever is earlier.

9.5.3 All the terms and conditions for the appointment of the project staff shall be indicated in the contract agreement entered into between the PI and the selected candidate in the format prescribed in **Annexure-1**. The appointment may be extended at the end of one year based on the performance of the project staff.

9.5.4 Project Staff who want to be relieved in the middle of the project work with genuine reason, shall submit resignation to the Registrar through the PI.

9.5.5 Services of the project staff may be terminated by the PI if the performance is not satisfactory.

## 9.6 **Conduct Rules**

9.6.1 The Project Staff shall maintain all records meticulously and confidentiality of the scientific / technical information and shall not divulge any information concerned with the project.

9.6.2 Project Staff shall follow the general code of conduct and discipline laid down by the department and Annamalai University.

9.6.3 The Project Staff may be terminated on grounds of indiscipline, dereliction of duty or misconduct on the recommendation of the PI, Co-PI and HoD.

## 9.7 **Leave Rules**

9.7.1 All Project Staff are entitled to 12 days casual leave per year.

9.7.2 Women Staff are eligible for Maternity Leave of 135 days only if they have been appointed on the project for more than a year.

9.7.3 A leave register and an attendance register shall be maintained by the PI.

9.7.4 An attendance register shall also be maintained in the concerned department.

## **10. PURCHASES**

- 10.1 The procedures laid down by the University shall be followed for all purchases. This will include rules for e-tendering, rules framed by the Tamil Nadu Transparency in Tenders Act 1998 (TNTT) (Tamil Nadu Act No. 43 of 1998) for tendering, evaluation and acceptance of the tender including possible exemptions under this Act such as single source of supply, proprietary items, low value purchases etc..
- 10.2 A fast track process shall be followed for processing requests for purchases.
- 10.3 The Purchase Committee duly constituted by the Vice-Chancellor with the Director of Research as the Chairperson shall meet twice a month for project related purchases.
- 10.4 Purchase of Equipment shall be based on the existing orders in Course. If the equipment / products / services are available in Government e-Market (GeM), the same shall be purchased by following the GeM guidelines.
- 10.5 Purchase of Consumables and Equipment shall be based on Rate Contracts approved by the University. A list of companies approved by AU, from which items may be ordered, can be obtained from the Grants Section. This list will be reviewed each year.
- 10.6 The form for procuring items in the Rate Contract may be obtained from the concerned section in the University. It is important to fill in the dates of ordering and receiving items in the order form to have a permanent record of the purchase process.

- 10.7 If there is any necessity to purchase Consumables and Equipment urgently under Rate contract system, the PI may be allowed to place orders directly up to Rs. 10,000/- per annum for each project either in one instance or two installments. Payment can be made by the PI out of the advance drawn by him and for settlement, the usual procedure has to be followed. However, for orders worth more than the above mentioned amount, necessary orders have to be obtained from the University before placing orders.
- 10.8 Orders for Equipment / Consumables in the Rate Contract shall be placed within a week and the same notified to the PI.
- 10.9 If the item is proprietary, and available with only one company, a certificate to that effect shall be produced.
- 10.10 Purchase of Equipment below Rs.10 lakhs will involve a limited tender. The date of validity of the quotation shall be at least one month after the date of the Purchase Committee. If the item selected by the PI is not the lowest priced, a note justifying the purchase must be included.
- 10.11 Fresh quotations need not be called for if a repeat order is to be made of an item purchased through the Purchase Committee of Annamalai University within the last six months or up to the duration during which the company agrees to supply for the same rate.
- 10.12 Purchase of Equipment and consumables above Rs. 10 lakhs will involve Open Tenders. This shall be publicized through national dailies with wide circulation and also through Annamalai University Website.

- 10.13 While calling for tenders, the price of the equipment, transportation charges F.O.R. Annamalainagar, installation charges, cost of additional components if any required for the commissioning of the equipment shall be mentioned. The University will not accept the charges other than those mentioned in the tender after the commissioning of the equipment.
- 10.14 Orders for Equipment and Consumables will normally be placed with the supplier whose quotations are the lowest unless the PI justifies an alternate supplier for technical reasons.
- 10.15 While purchasing Equipment, provision shall be made to include comprehensive Annual Maintenance Contract for a period of 3-7 years as well as Insurance.
- 10.16 Commissioning and Installation of Machinery / Instruments: The contingency amount may be used for Civil / Structural / Electrical Work in connection with commissioning and installation of equipment purchased in a project. This expenditure shall be envisaged while drafting the research proposal and duly incorporated in the budget estimate.

## **11. PAYMENT FOR IMPORTED ITEMS**

- 11.1 Payments for the purchase of imported equipment shall be made in Indian currency. If payment is mandated only in foreign currency, then the same may be done based on the current foreign exchange rate fixed by the Reserve Bank of India.
- 11.2 Payment for imported items can be made by Advance Draft, Letter of Credit, or Sight Draft or Wire Transfer.

11.3 Advance Draft made to foreign suppliers by the bank will require the following documents: A-1 form, A-2 form, Proforma Invoice, Letter addressed to the Bank. Advance payments must be minimised as the original documents (Bill of Entry, wrappers, invoice) are received only later.

#### 11.4 **Letter of Credit**

The following documents should be submitted to the bank for opening a letter of credit:

- (i) Letter of request to the bank to open an LC.
- (ii) Purchase Committee approval for equipment
- (iii) Signed Agreement on a non-judicial paper between the bank and Annamalai University
- (iv) Proforma Invoice.

#### 11.5 **Sight Draft**

This is issued by the bank only after the goods are received from the suppliers and is therefore the best mode of payment. The following documents are to be submitted:

- [1] A1 form duly filled and signed.
- [2] A2 form duly filled and signed.
- [3] Bill of Entry/wrappers.
- [4] Invoice
- [5] Bank Notice
- [6] Airway Notice
- [7] Letter to the bank (Annexure-2)
- [8] Purchase Committee approval for equipment.

## **12. CUSTOMS CLEARANCE**

12.1 For items that are imported, the supplier or the agent will provide details of the cargo arrival notice containing the Airway Bill Number (AWB No.) of the shipment, flight number, date of arrival, Cargo agent to be contacted for delivery order, and final invoice. The following documents have to be provided to the Customs Clearing Agent of Annamalai University who will clear the consignment:

- [1] Cargo arrival notice
- [2] Customs Duty Exemption Certificate
- [3] Invoice
- [4] Authorization letter from the PI
- [5] Authorization from the bank if the payment is through sight draft or letter of credit.

### **12.2 Demurrage Charges**

12.2.1 It is important to clear the shipment from customs as soon as possible to avoid demurrage charges.

12.2.2 In the event of a demurrage charge being levied due to a delay in customs clearance, a special request to condone the demurrage has to be made by the PI to the Registrar explaining the reasons for the delay.

## **13. PROVISION UNDER CONTINGENCIES**

- (i) Provides for expenditure on stationery, photocopying, publication costs (page charges), test materials (plants, animals), photography, postal expenses for publication and progress reports.
- (ii) Payments for services rendered by other laboratories / institutions.

- (iii) Local hospitality, accommodation and hospitality expenses for visiting scientists and review teams.
- (iv) Membership fee for Professional Societies and journal subscriptions.
- (v) Registration Fee: The PI / Project Staff can claim registration fee for conferences/workshops from the contingency by producing documentary evidence.
- (vi) Any unforeseen expenditure likely to be incurred.

#### **14. TRAVEL**

- 14.1 Prior approval shall be obtained for travel. Normally, the request for travel by the PI should be submitted to the Registrar; while the request for travel by the project staff should be submitted to the Head of the Department concerned through the PI, prior to take up the travel. In case of emergency, the PI may attend workshops / conferences/ review meetings / and any project related activities with intimation to the authorities. However, if the projects involve cruises as in Marine Sciences, prior permission is mandatory.
- 14.2 PIs are permitted to utilize Travel Grant for field work, to attend review meetings, conferences, seminars, and workshops and project related activities subject to the guidelines laid down by the funding agency.
- 14.3 The most expeditious and convenient mode of travel shall be used to minimize the period of absence from work.
- 14.4 Travel Allowance (TA) and Dearness Allowance (DA) shall be paid as per University norms for the following:
  - (i) PI
  - (ii) Co-PI / Co-Investigator
  - (iii) Subject Expert in the Selection Committee
  - (iv) Project Staff
  - (v) Ph.D. students working on the project.

#### 14.5 **Mode of Travel**

- 14.5.1 By Train: 2-tier A.C. for the PI, Sleeper Class for Staff and Students working in the project (Ticket to be produced).
- 14.5.2 By Air: The PI shall be permitted airfare as per eligibility subject to the availability of funds and approval by the Vice-Chancellor. Boarding passes shall be produced as evidence of air travel.
- 14.5.3 Air Travel is permitted for Project Staff if the work is to be carried out in far away places like Andaman, Nicobar or Lakshadweep islands, North East India or Jammu & Kashmir.
- 14.5.4 If international travel is allowed by the funding agency, *per diem* shall be granted for the days spent overseas as specified by Govt. of India norms. Boarding passes shall be produced as evidence of air travel. Visa and insurance charges are also permissible. If the flight ticket has been booked through a travel agent, Service charge may be claimed.
- 14.5.5 Air Travel is permitted for Project Staff for attending conferences or undertaking research work in overseas labs with the approval of the funding agency and the PI.
- 14.5.6 By Road: Bus Fare (Ticket to be produced) / Taxi fare may be permitted, as per University rules, provided trip sheets with vehicle number and toll gate receipts, if any, are produced as evidence of travel.

#### **14.6 Accommodation**

Actual expenditure incurred for accommodation will be reimbursed on production of receipts.

#### **14.7 Advance for TA/DA**

The claim for Travel by road /rail / air should be submitted in the prescribed format available with the University.

#### **14.8 Settlement of TA/DA**

- 14.8.1 The final claim for TA and DA shall correspond to the original request for advance and approval by the Registrar.
- 14.8.2 If the mode of travel is higher than that eligible, justification shall be given and approval sought from the Registrar.
- 14.8.3 Sufficient funds should be available under the 'Travel' head of account.
- 14.8.4 The travel should have been performed during the project tenure.

### **15. OVERHEAD CHARGES**

This covers the expenses incurred by the University for providing infrastructure, maintenance, payment of utilities bills, and engaging staff for maintenance of project accounts. A separate account shall be maintained by Annamalai University for the Grants including Overhead charges received under sponsored research projects.

## **16. ADVANCE**

- 16.1 Advance will not be sanctioned for purchase of Equipment and Consumables.
- 16.2 PIs can however draw an advance for the day-to-day expenditure in running the project from the Contingency and Travel head of accounts. Advance may also be drawn for hiring services in the prescribed form available in the University section concerned.
- 16.3 If the actual expenditure incurred by the PI exceeds the advance amount, then the excess amount may be claimed by producing the vouchers/bills, provided there is sufficient balance remaining under the respective head of account.
- 16.4 Fresh advance will not be sanctioned normally unless the bills for the previous advance are settled.
- 16.5 Bills that are submitted must be pre-receipted with a Revenue Stamp affixed if the amount is for more than Rs. 5000/- and the payment is made directly to the company / person.
- 16.6 For reimbursements, a cash memo shall be produced.
- 16.7 The contingent bill together with the pre-receipted vouchers/bills duly signed by the PI and the Head of the Department shall be forwarded to the Registrar for payment to the concerned company.

### **16.8 Advance Adjustment**

- 16.8.1 The advance drawn shall be settled within 2 months. Failure to do so may result in the amount being deducted from the salary of the PI.
- 16.8.2 Adjustment of advance received towards meeting the day to day expenditure in running the project shall be made by using the prescribed format available in the University section concerned.

- 16.8.3 This must be accompanied by vouchers duly signed by the PI with the stock entry noted on the vouchers.
- 16.8.4 Vouchers for hospitality should indicate the number of persons to whom hospitality was extended and the amount spent per member.
- 16.8.5 The vouchers shall be arranged in chronological order. A statement of expenditure must also be filled. The Adjustment Bill must be signed by the PI and Head of the Department and forwarded to the Registrar for adjustment.
- 16.8.6 Any procedural objections to bills submitted by the PI for clearance such as errors, omissions, etc. shall be notified in a single note and reverted to the PI within 2 weeks.
- 16.8.7 Bills which are in order shall be cleared by the Grants and Finance Sections within 3 weeks of submission. The PI should report to the Director of Research/Registrar if bills are not cleared within the stipulated time.
- 16.8.8 All note-sheets/bills of purchase sent to the Finance Section shall be duly acknowledged.

## **17. MAINTENANCE OF STOCK REGISTERS**

- 17.1 All purchases must be entered in the stock register of the department only after physical verification and then issued to the respective PI.
- 17.2 The PI shall maintain separate stock registers for equipment, consumables and contingencies.

17.3 Each item purchased shall be recorded on a separate page with details including date of purchase, bill number, description of the item, quantity (if applicable), unit price and total price including discount and taxes.

17.4 Physical verification of stock shall be conducted at least once a year by the Head of Department and reported to the Finance Officer.

## **18. PROGRESS REPORTS AND STATEMENTS OF EXPENDITURE**

### **18.1 Annual Reports**

18.1.1 The PI shall submit the Annual Progress Report together with the Statement of Expenditure and Utilization Certificate within 30 days after the financial year end (30<sup>th</sup>April) or as and when required by the funding agency.

18.1.2 The Finance Office shall verify the accounts and return the same to the PI within two weeks together with a forwarding letter for onward transmission to the funding agency.

18.1.3 The audited statement of accounts shall be submitted to the funding agency after verification.

### **18.2 Final Reports**

18.2.1 The Final Progress Report and the Accounts Reports shall be submitted within 3 months of completing the project or as and when required by the funding agency in the format prescribed by the respective funding agency.

18.2.2 Any discrepancy in the financial aspects shall be immediately settled.

- 18.2.3 The financial aspects shall be verified by the Local Fund Audit of the University and the audited accounts submitted to the funding agency.
- 18.2.4 One copy of the Final Technical Report should be retained by the respective PI and should be lent to the Head of the Department whenever required.

## **19. PUBLICATION OF RESULTS**

- 19.1 The PI reserves the right to publish the data generated from the project unless the agreement with the sponsor requires prior permission or prohibits publication.
- 19.2 The PI shall acknowledge the funding agency in the publications resulting from the project.
- 19.3 All publications resulting from the project shall be intimated to the funding agency.

## **20. PROJECT CLOSURE**

- 20.1 The date of closure of research projects is as specified in the sanction letter.
- 20.2 If extension of the project is necessitated, prior approval shall be obtained from the funding agency.
- 20.3 A list of equipment purchased from the project fund and the consumables remaining after project completion shall be transferred to the department stock register.
- 20.4 The Head of Department shall ensure that the list of permanent assets is entered in the stock register within four weeks of submission by the PI.
- 20.5 After entry in the stock register, the items required by the PI shall be reissued; and those that are not required shall be taken to the stores.
- 20.6 If any items/components of equipment are missing, the cost of the same shall be recovered from the PI.

### **III- CONSULTANCY**

#### **21. CONSULTANCY**

21.1 AU encourages faculty to undertake consultancy with industries and other extramural agencies to promote intellectual exchange, create synergies, spawn innovations and inventions, and extend their services to socially useful enterprise. However, while undertaking consultancy, faculty members shall ensure that commitment to academic duties is not compromised.

21.2 Expected Outcome from Academy-Industry tie up:

- ❖ Infuse best practices of the Industry to restructure academia
- ❖ Curriculum remodelling to make it more dynamic and job oriented by involving the Industry in syllabus framing and other academic activities
- ❖ Industry support to specific academic Programmes or courses
- ❖ Financial Support from Industry for specific Programmes and projects
- ❖ Student Projects on industry-related problems
- ❖ Bilateral Exchange Programme- Deputation of Faculty to Industry for training and inviting industry Professionals as Adjunct Faculty
- ❖ Conduct academic courses for Industry personnel
- ❖ Conduct training Programmes and workshops jointly
- ❖ Transfer of Technology from University to Industry
- ❖ Undertake Collaborative R & D projects and consultancy services.

21.3 Consultancy involves professional assistance rendered to industries / organizations and includes scientific, engineering, and technical services, literature survey, preparation of evaluation reports, or other advice based on the knowledgebase / expertise of the individual / group.

21.4 Activities that are considered an integral part of a faculty member's scholarly and creative work such as those detailed below cannot be construed as consultancy.

- ❖ Writing books, journal articles and reports on selected subjects.
- ❖ Acting in an editorial capacity for a professional journal, reviewing journal manuscripts, book manuscripts or grant proposals.
- ❖ Attending and presenting talks at scholarly seminars, workshops and conferences.
- ❖ Serving as a committee member or as an office bearer of a professional or scholarly society.
- ❖ Accepting a commission for an artistic work or performance such as a work of art, music or dance that is considered an integral part of a faculty member's academic portfolio.
- ❖ Making educational documentaries and other audio visual aids.
- ❖ Serving on local, regional, state, and central panels, committees or commissions.
- ❖ Fees received from a recognised University, statutory bodies or public sector undertakings for conducting examinations or for delivering lectures.
- ❖ Income from royalties on books and patents.
- ❖ Accepting honoraria and awards for academic accomplishments.

21.5 The faculty member who undertakes consultancy is designated as a Principal Consultant (PC).

21.6 Consultancy may be Institutional or individual and is of three categories:

[1] Knowledge-based Consultancy, also known as Retainer Consultancy, involves providing advice without using University facilities.

[2] R&D-based Consultancy for which University facilities are used (infrastructure, equipment, consumables).

[3] Technical Services that refer to services rendered to clients based on knowledge / expertise / technical skills / laboratory facilities and comprise the following: Testing and Analysis, Training, Fabrication, production and supply of special products for R&D, and supply of information / databases. These do not require advice or interpretation of results.

### 21.7 **Approval for Undertaking Consultancy**

21.7.1 A request for consultancy services may be received either directly by the faculty or by the University.

21.7.2 A Faculty member may undertake consultancy work only after obtaining permission from the Registrar (**Annexure-3**).

21.7.3 Consultancies that involve use of departmental equipment and facilities shall require approval by the Head of the Department.

21.7.4 Each request for consultancy will be examined based on the long-term benefit to the University and whether it will adversely affect the

faculty member's commitment to University duties. Due cognizance shall therefore be taken of his / her workload, qualification and experience vis-à-vis the specific requirements of the consultancy as well as the honorarium likely to accrue before granting approval.

21.7.5 MoU with Industries, Governmental and Non-Governmental agencies may be established only on prior approval by the Vice-Chancellor. A specimen copy of an MoU is provided in **Annexure- 4.**

## 21.8 **Terms and Conditions for Undertaking Consultancy**

21.8.1 Faculty members shall not undertake any consultancy that is likely to have an adverse effect on the reputation and integrity of the University.

21.8.2 Faculty members shall disclose all financial conflicts of interest before undertaking consultancy to facilitate review and resolution by the Executive Committee.

21.8.3 Contractual agreements with clients shall be executed by AU and not by an individual or team of consultants.

21.8.4 All rights pertaining to any intellectual property generated / created / invented during the course of the project will be the joint property of AU and the Client. Terms and conditions regarding IPR are detailed in the ensuing section.

- 21.8.5 The project work may be terminated by either party by giving the other party a notice period of 30 days. However, both parties will meet any residual obligations in connection with the project.
- 21.8.6 AU shall not be held liable for any loss, damage, delay or failure of performance, resulting directly or indirectly from any cause, which is beyond its reasonable control (Force Majeure).
- 21.8.7 **Disclaimer:** The consultancy report is the technical opinion of the individual Faculty member, based on his / her expertise and does not reflect the views of Annamalai University.
- 21.8.8 Any consultancy report given by the PC shall not be construed as a legal document, certificate or endorsement. Consultancy reports shall also not be used for marketing of products or processes, without prior consent from Annamalai University. Annamalai University shall however reserve the right to use the results of the project for teaching and research.
- 21.8.9 The consultants(s) shall take care to avoid any legal complications as a result of the consultancy.
- 21.8.10 The PC or the team of consultants shall be solely responsible for any legal issues that may arise from implementing the consultancy projects.

- 21.8.11 A faculty member who takes up consultancy shall not spend more than one third of his / her time on consultancy, other two thirds being spent on teaching and research. In practice, the time spent by a faculty on Consultancy shall not exceed one day per working week at the rate of 5 working days per month.
- 21.8.12A Faculty of AU may be granted leave up to 15 days in a calendar year for work related to sponsored research and consultancy in addition to special casual leave.

## **21.9 Equipment and Consumables**

- 21.9.1 Equipment and consumables that belong to the department / University shall be allowed to be taken for field work outside the University premises by the Project Team with prior permission.
- 21.9.2 The total annual income of the faculty member from consultancy shall not exceed 50% of the total emoluments in a year.
- 21.9.3 The PC shall not be induced by financial interests
- ❖ to conduct research in a manner that is favourable to the sponsor
  - ❖ to use department resources
  - ❖ to assign University staff, research scholars, or students to further the interests of the consultancy project

- ❖ to use unpublished data generated from University research or provide access to University resources and confidential scientific information
- ❖ to unilaterally appropriate patentable inventions or protectable software without disclosing these products to AU.

### 21.10 **Project Proposal**

The format for R&D based Consultancy Projects will essentially be the same as for sponsored research projects (Section 5). However, the following shall be taken into consideration while estimating the budget:

- [1] Cost of man-days of Project Staff
  - [2] Cost of consumables
  - [3] Equipment Cost
- ❖ Use of existing equipment for consultancy purpose may be charged as specified by University rules.
  - ❖ Any new equipment to be used for undertaking the consultancy project may either be provided by the client or purchased by the Consultant and charged to the client with an additional procurement and handling charges of 5% of the equipment cost.
  - ❖ Such equipment purchased shall be the property of the Department after completion of the project.

- [4] Cost of field work
- [5] Contingency costs
- [6] Travel Expenses
- [7] Overhead Charges
  - ❖ This reflects charges for Annamalai University's investment in developing and sustaining the extant level of expertise, knowledgebase and facilities.
  - ❖ Overhead charges levied should therefore be commensurate with the quantum and quality of Annamalai University's resource inputs and the likely benefits to be derived by the client on implementation of the project results.
- [8] Consultants Remuneration (Intellectual fee)

This is subject to the condition that the total annual income of the Consultant(s) does not exceed 50% of the total emoluments in a year.

### 21.11 **Budget Distribution**

21.11.1 From the total consultancy amount excluding travel cost and after deducting the service tax, the following distribution shall be made:

- ❖ **For Knowledgebase (Retainer Consultancy)**

Overhead Charges	:	45%
Remuneration	:	55%
- ❖ **For R&D-Based Consultancy**

Overhead Charges	:	30%
Project Costs (items 1-5)	:	50%
Remuneration	:	20%

❖ **For Technical Services (other than supply of information / database):**

Overhead Charges	:	25%
Equipment Maintenance and running cost	} :	50%
Remuneration	:	25%.

21.11.2 Consultancy charges to be levied shall consider the nature of the client, benefits accruing, and client's paying capacity. While supply of information / databases to commercial organizations / international agencies shall be based on commercial considerations, the charges for Universities / S & T organizations / non-profit organizations may be levied at a modest price. The charges may be decided on a case-to-case basis.

21.11.3 If the Consultancy involves a team, the Executive Committee will decide the quantum of fee to be distributed between the Principal Consultant and other team members.

21.12 **Terms of Payment**

21.12.1 The client shall pay an advance of 50% of the total cost of project for Knowledge-based Consultancy and 100% for R&D Consultancy or as approved by the Research Committee.

21.12.2 All financial transactions will be with the Registrar, Annamalai University through demand draft or cheque and not by cash.

21.13 **Implementation of the Consultancy Project**

The same principles laid down for Sponsored Projects will also apply for Consultancy Projects.

21.14 **Disputes and Arbitration**

21.14.1 Any dispute that may arise during the course of the Consultancy project will be resolved by a committee appointed by the Vice-Chancellor.

21.14.2 If the disputes arise between the Client and the Consultant(s), the consultants shall be responsible for settling the dispute.

21.14.3 If mutual negotiations prove in fructuous, the disputes may be settled by three arbitrators appointed in accordance with the Arbitration and Conciliation Act 1996 (Central Act 26 of 1996).

20.15 **Annual and Final Reports and Accounts**

21.15.1 On completion of the consultancy project, one copy of the report has to be submitted to the department and another to the University.

21.15.2 The Principal Consultant has to submit periodic and final audited statements of accounts of the consultancy project.

- 21.15.3 The Principal Consultant shall submit to the Registrar the project completion certificate and the statement of financial receipts from the funding agency / client.
- 21.15.4 Complete details of the consultancy amount received by the faculty together with payment acquaintances is to be submitted to the Finance Section through the Dean for Income tax purpose for each financial year.
- 21.15.5 From the earnings received by the Consultants, 10% Income Tax will be deducted when the total earnings of the PC exceeds the permissible amount fixed by the Govt. of India.
- 21.15.6 The PC shall be issued Form 16A at the end of every financial year detailing the amount received from consultancy activities.
- 21.15.7 It is mandatory for the PC to submit Form 16A while filing returns to the Income Tax Department.
- 21.15.8 Any equipment / material purchased from the project shall be the property of the University. However, the equipment may be under the control of the Project Consultant until his / her retirement / resignation.

## 22. INTELLECTUAL PROPERTY (IP)

Intellectual Property includes patent, copyright, trademark, design and computer software.

### 22.1 **Types of Intellectual Property** - IP is of two types:

- [1] **Unencumbered IP:** It is developed either wholly through in-house R & D Programmes / projects, or through sponsored research that is rendered unencumbered as per the contractual agreement. In both cases, the ownership and licensing rights rest with Annamalai University alone.
- [2] **Encumbered IP:** It is developed through partial or total financial support with or without technical inputs from the clients. In these cases, licensing will be governed by the terms and conditions of legal agreements.

### 22.2 **Licensing of Intellectual Property / Knowledgebase**

- 22.2.1 Licensing of IP refers to granting the right to utilize the IP to make the product for commercial / captive purpose or to further develop the IP.
- 22.2.2 The rights of licensing intellectual property and / or knowledgebase shall rest with Annamalai University and shall be through specific contractual agreements.
- 22.2.3 The sponsor shall be given the first right for commercial exploitation of intellectual property and / or knowledgebase.

- 22.2.4 If the sponsor fails to exercise his / her option within the stipulated time-frame Annamalai University shall be free to license the intellectual property and / or knowledgebase to third parties and the money accruing there from shall be equally shared by Annamalai University and the sponsor.
- 22.2.5 For the license granted for commercial exploitation of the intellectual property and / or knowledgebase to the sponsor, Annamalai University shall charge an adequate amount as license fee.
- 22.2.6 Notwithstanding the exclusive license granted to the sponsor, Annamalai University reserves the right to license the intellectual property during the period of license to the Government of India, if the Govt. requests Annamalai University to disclose the intellectual property for use in India in the interest of the nation.
- 22.2.7 From the money received by Annamalai University through licensing fee, 60% will remain with the University, 25% will go to the inventor (Principal Consultant), and 15% to the Department for infrastructural development.
- 22.2.8 From the share received by the University, 50% shall be utilized for administrative charges and 50% maintained as a corpus Research and Development fund.

22.2.9 A faculty member who is entitled to Licensing fee will receive his / her share of the money even in the event of transfer / retirement / resignation from the University, and in the event of death, the legal heir shall be entitled to his / her share.

## **23. GOOD RESEARCH PRACTICES**

Annamalai University is committed to undertaking research and consultancy services with impeccable scientific integrity and in conformity with the accepted code of principles on Good Research Practices (GRP) and the national policy on academic ethics (<http://www.psa.gov.in/whatsnew/national-policy-academic-ethics>). GRP is concerned with the organizational process and the conditions under which academic research is planned, performed, monitored, recorded, archived, and reported. This requires appropriate training and supervision to ensure the highest achievable standards for conducting research. All researchers, PIs and Project Staff shall follow these guidelines while planning and executing research in general, and sponsored research and consultancies in particular.

### **23.1 Scientific Integrity**

All researchers shall maintain a very high degree of integrity with respect to all aspects of research including application for funding, designing and conducting experiments, analyzing data, and publication of results.

### **23.2 Ethical and Legal Requirements**

All researchers must be aware and comply with the ethical and legal requirements relating to human participants, animals, disclosures of personal information, biological material transfer and testing, and biodiversity protection before undertaking research. All researchers are expected to follow the standard procedures for conducting research laid down by relevant scientific and professional bodies.

### 23.3 **Conflict of Interest**

A conflicting interest exists when professional judgment concerning a primary interest such as scientific knowledge may be influenced by a secondary interest such as financial gain, personal advancement, or personal rivalry. Conflicts of interests may influence interpretation of results. Examples of potential conflicts of interest include employment, consultancies, stock ownership, honoraria, paid expert testimony, patent applications / registrations, and grants or other funding. All conflicts of interest, perceived, potential or actual, must be declared.

### 23.4 **Safety**

A researcher must be aware of the safety precautions and potential hazards of materials and equipment, use, storage and disposal of chemicals, how to deal with spills and accidents, and requirement for vaccinations when dealing with biological samples. Equipment used to generate data should be calibrated and serviced regularly to ensure optimal and reproducible performance. A standard operating procedure (SOP) and easily accessible instructions for safe shutdown in case of emergency should be maintained for each equipment.

### 23.5 **Economy**

All researchers shall exercise the principle of economy in the use of resources including infrastructure facilities, equipment, and consumables. Regular review meetings shall be conducted to assess the progress of research and to decide when to stop experiments.

### 23.6 **Documentation of Data**

All processing of data must conform to the standards set out in the Data Protection Act 1998 regarding Data Protection Principles. All data must be recorded promptly, accurately, legibly, indestructibly, and signed and dated by the researcher entering the data and countersigned by the PI. Confidentiality is important for data publication and protecting intellectual property. All raw data, documents, protocols, specimens, and reports shall be retained and archived. Data must be retained intact for a period of at least 7 years from the date of any publication. Proper documentation of data will help in establishing ownership rights, and provide proof against charges of cheating or falsification.

### 23.7 **Publication**

Annamalai University encourages researchers to publish research data while emphasizing the paramount importance of quality rather than quantity. All researchers shall refrain from ‘fudging’ and fabricating data. If an error is detected after publication, the corresponding author shall request the journal to publish an erratum as soon as possible. If there are concerns and serious doubts about the authenticity of the data, the authors shall retract the paper from the journal. Any deviation from GRP and indulgence in research misconduct will be dealt with severely as detailed in the ensuing section.

### 23.8 **Dissemination**

Once the results of the research are published, Annamalai University expects researchers to disseminate the knowledge generated to other researchers on request or in conferences and seminars provided there is no infringement on any IPR. However, researchers must exercise utmost caution in discussing work that is incomplete, unpublished, or pending patent application.

### 23.9 **Monitoring**

23.9.1 Supervision and monitoring constitute an integral part of research. Periodic assessment of conduct of experiments, field work, note books, data recording and analysis, and publication will ensure quality of research and prevent misconduct.

22.9.2 The Project Monitoring Committee (PMC) shall monitor the progress of projects annually. The PMC will consist of the Director of Research as the Chairperson, the PI as the Convener, and the Dean of the Faculty, Head of the concerned department and a Senior Professor in the department as members. The PMC shall report on the progress of the project in terms of milestones and deliverables as well as the financial aspects and stock verification and entry.

### 23.10 **Training**

It is mandatory for all researchers to undergo training in Research Methodology in order to adopt GRP. Students registering for a research degree and all Project Staff shall compulsorily attend these courses immediately after joining in order to inculcate best practices early in their research career. Training and mentoring at all levels will also prevent research misconduct.

## **24. RESEARCH MISCONDUCT**

24.1 Annamalai University's policy on defining and dealing with research misconduct adheres to national international conventions on the issue and the policy statement issued by the Govt. of India on addressing situations where integrity, which is the foundation of research may be compromised.

24.2 Research or scientific misconduct includes fabrication, falsification, and plagiarism, self-plagiarism, or deception in proposing, carrying out or reporting research results. However, honest error or differences of opinion cannot be classified as research misconduct. The following are regarded as research misconducts:

24.2.1 *Fabrication* that involves making up results and publishing them. A minor form of fabrication is where references are included to give arguments the appearance of widespread acceptance, but are actually fake, and / or do not support the argument.

24.2.2 *Falsification* which refers to manipulation of research materials, equipment, or processes or changing or omitting data or results such that the research is not accurately represented in the research record.

- 24.2.3 *Plagiarism* involves the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Plagiarism also includes deliberate failure to appropriately credit prior work by others thereby giving a false impression of priority (*citation plagiarism*). *Self-plagiarism* is also considered as scientific misconduct.
- 24.2.4 *Ghost-writing* refers to the practice of commissioning an anonymous writer is also regarded as a form of plagiarism because it undermines the integrity of scientific publication system.
- 24.2.5 *Unacceptable Authorship*: “Guest Authorship” refers to granting authorship out of respect for an individual, or because it will increase the likelihood of publication, credibility, or status of the work. “Gift Authorship” is credit, offered from a sense of obligation, or anticipated benefit, to an individual who has not contributed to the work. “Ghost Authorship” is denying authorship to an individual who has made substantial contributions to the research or writing of a manuscript.
- 24.2.6 Violation of ethical standards in human and animal experiments.
- 24.2.7 Suppression or failure to publish findings that is adverse to the researchers’ / sponsor(s) interests.
- 24.2.8 Failure to follow established protocols if this failure results in unreasonable risk or harm to humans or the environment and facilitating of misconduct in research by collusion in, or concealment of, such actions by others.

24.2.9 Intentional, unauthorized use, disclosure or removal of, or damage to, research-related property of another, including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research.

**24.3 Investigation of Research Misconduct**

24.3.1 A committee duly constituted by the University will investigate complaints of alleged research misconduct.

24.3.2 Confidentiality will be maintained during the investigation including the identity of the individual registering the complaint (complainant).

24.3.3 If the misconduct is unintended, or the charges are baseless, the complaint will be dismissed. However, a report will be filed in the office.

24.3.4 If the complaint is credible, the committee after informing the researcher against whom the complaint has been made (the subject) will assess the authenticity of the charge, and the nature of the misconduct based on the material information available.

24.3.5 The subject will be allowed to defend himself / herself. However, he / she shall provide the committee access to reports, raw data, electronic records, manuscripts and any other material relevant to the investigation.

24.3.6 The committee shall complete its investigation and submit its report on the recommended course of action within a period of sixty days.

- 24.3.7 Annamalai University regards research misconduct as a serious offence and any member of staff may raise bona fide concerns confidentially and without fear of suffering a detriment. However, if the allegations prove to be made frivolously or with malicious intent, formal action against the complainant will be initiated.
- 24.3.8 If the charges of misconduct are proved, the subject will be notified and disciplinary action initiated.
- 24.3.9 Annamalai University will inform the concerned funding agency of research misconduct involving grant holders, the outcome of the investigations and disciplinary action resulting there from.

## **25 FINANCIAL AND SEXUAL MISCONDUCT**

- ❖ As PIs and Research Supervisors, faculty members are expected to uphold the best scholarly standards of their discipline, and shall not deviate from their role as intellectual mentors.
- ❖ They have to foster honest and best research practices in the Project Staff.
- ❖ They shall not use their position and power to exploit the vulnerability of the Project Staff and students.

The following are considered unacceptable behaviour:

- ❖ Sexual harassment
- ❖ Demanding payment in cash or kind from Project Staff/Students
- ❖ Demanding kickbacks from Suppliers
- ❖ Non-payment or partial payment of salary / fellowship
- ❖ Producing false bills / accounts.

## **26 SANCTIONS**

If a prima-facie case of research / financial / sexual misconduct is established against the PI / PC by the fact-finding committee, the following sanctions will be imposed on the erring faculty:

- [1] Prohibition from serving on advisory and other research committees.
- [2] Repayment of grant to the funding agency with interest.
- [3] Retraction or correction of pending or published papers emanating from the research in question.
- [4] Barring of the grant holder from applying for funds for a given period.
- [5] Appropriate disciplinary action for financial malpractice.
- [6] Appropriate action by the Sexual Harassment Cell in case of sexual misconduct.

### **TRANSITORY PROVISIONS**

#### **27. Amendments to the Ordinance**

These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, based on the recommendations of the Academic Council, as and when situation warrants.

#### **28. Interpretation of the Ordinance**

If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

**Annexure-1**

(Agreement form)

From

Date:

Annamalainagar

\_\_\_\_\_

Department of \_\_\_\_\_

AnnamalaiUniversity

To

The Principal Investigator

Department of \_\_\_\_\_

AnnamalaiUniversity

Respected Sir/Madam,

I \_\_\_\_\_ appointed as a \_\_\_\_\_ in the \_\_\_\_\_ Project entitled “ \_\_\_\_\_ ” under the Principal Investigatorship of \_\_\_\_\_, Department of \_\_\_\_\_, Annamalai University am aware that my appointment in the above project is made on a contractual basis for a period of \_\_\_\_\_ months with effect from \_\_\_\_\_ on a payscale / consolidated pay of Rs. \_\_\_\_\_ per month.

I am also informed that my appointment in the project is purely temporary and I will not claim any right in respect of appointment or seniority or preference in any future vacancies in the regular Annamalai University post by virtue of this temporary service in the above project.

I assure you that I will abide by the rules of the University.

Thanking you,

Yours faithfully,

Principal Investigator

( \_\_\_\_\_ )

**ANNAMALAI  UNIVERSITY**

**(Letter to the Bank)**

**PIN:**

To

The Manager  
XXXX Bank  
Annamalainagar Branch,  
Chidambaram.

Ref : .....

Import Code No. : .....

Dear Sir,

The University has imported .....from M/s.....on advance/sight draft basis. We need to make payment in foreign exchange by way of bank draft. The particulars of the invoice and the amount required to be remitted to the party concerned in foreign currency is/are given below:

Sl. No.	Name and Address of the Party	Bill No.	Amount in Foreign Currency

Under the various provisions relating to import of commodities without the import licence for research labs by the research institution as per details given in Appendix(V) para (22) of Import Trade Control Hand Book of Rules and Development research institutions can import Scientific Instruments/Chemicals/reprints.

We are enclosing the following documents:

- Form A-I in duplicate
- Form A-II in duplicate
- Bill/Invoice
- Bill of Entry/Parcel wrapper.

We request you to please issue a foreign bank draft for .....in favour of Ms/s.....The amount in Indian rupees may please be debited from the ANNAMALAI UNIVERSITY account .....maintained in your bank and operated upon by the undersigned, under intimation to us.

Yours faithfully,

Registrar

**ANNAMALAI  UNIVERSITY**

**Form for Accepting Consultancy**

Name(s) of the Consultant(s)*	Designation	Department/Faculty	Contact details (Phone & E mail id)

\* If more than one faculty is involved, Principal Consultant to be identified.

<b>Title of the Consultancy work</b>													
Name and address of the client (Please attach a copy of the client's letter duly attested by the consultant)													
Total consultancy amount ** (Excluding Service Tax) **Service Tax, at applicable rates, to be collected from the clients along with the consultancy charges	Rs. (Rupees in words)												
Number of Hours likely to be spent													
Equipment/instruments required													
Duration of the work	Starting date Closing date												
Budget Estimate	<table style="width: 100%; border: none;"> <tr> <td style="width: 80%;">Manpower</td> <td style="text-align: right;">- Rs.</td> </tr> <tr> <td>Travel expenses</td> <td style="text-align: right;">- Rs.</td> </tr> <tr> <td>Consumables</td> <td style="text-align: right;">- Rs.</td> </tr> <tr> <td>Equipment***</td> <td style="text-align: right;">- Rs.</td> </tr> <tr> <td>External consultant</td> <td style="text-align: right;">- Rs.</td> </tr> <tr> <td>Sub-contracting of part of the work</td> <td style="text-align: right;">- Rs.</td> </tr> </table>	Manpower	- Rs.	Travel expenses	- Rs.	Consumables	- Rs.	Equipment***	- Rs.	External consultant	- Rs.	Sub-contracting of part of the work	- Rs.
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External consultant	- Rs.												
Sub-contracting of part of the work	- Rs.												
Estimated honorarium for the consultant(s)	Rs.												
Overheads of the consultancy fees													

\*\*\*For procurement of equipment university procedure shall be followed and the equipment shall not be handed over to the client.

**Date:** \_\_\_\_\_ **Signature of the Consultant(s)**

**Recommendation of the HOD/Director, DRD**

Dr/Mr./Ms. ....is recommended/Not recommended to take up the above consultancy because.....

**Date**                      **Signature of the HOD**                      **Signature of the Director, DRD**

**For Office Use**

Consultancy No.

Consultancy Type:

Date:

Forwarded to the Principal Consultant and HOD/Director

**Date**

**Signature of the Superintendent**

**Date of completion of the assignment**

**Date**

Certified that the consultancy assignment has been successfully completed and report submitted to the client. Copy of the letter to the client with acknowledgement is enclosed. The remuneration payable to the consultant may be released, as per the distribution of the honorarium, in the format attached.

Date

Signature of the  
Consultant(s)

**Annexure-4**

**GUIDELINES FOR MoU / AGREEMENT**

The following clauses shall be included for an MoU / Agreement between a Client and AU for a Consultancy project, Additional clauses may be added if considered necessary:

**1. General**

This includes the reference to the proposed Consultancy and identifies the parties entering into an MoU / MoA.

**2. Scope**

This section details the nature of work, its limitations and the anticipated outcome of the project.

**3. Time Frame**

This clause shall indicate the duration of the project, milestones, and deliverables.

**4. Consultancy Charges and payment terms**

The charges for consultancy shall be indicated including service tax and terms of payment.

**5. Responsibilities**

The responsibilities of the various parties and the allocation of tasks must be clearly indicated.

**6. Patents/Publications**

IPR issues relating to patents or publications arising from the proposed Consultancy project shall be clearly indicated.

**7. Force Majeure**

This clause shall be included in order to safeguard the interests of the various parties due to one or more of the unforeseen force majeure events

**8. Arbitration**

The document shall provide for a suitable channel to settle any disputes or differences that may arise during execution of the Consultancy project.

**9. Liability**

The maximum acceptable liability in the event of premature termination of the project shall be indicated.

**10. Amendment to the MoU**

The provision for amendments to one or more clauses of the MoU through mutual consent, at any stage during work of the project, due to any reason whatsoever shall be specified.

The PI shall be responsible for legal vetting of the MoU / MoA.

## ORDINANCE

### PART – VI

#### FEES STRUCTURE

- (1) The Fees to be charged for courses of study, research, experiment and practical training, admissions to the examinations for degrees, titles, diplomas and other academic distinctions of the University, etc., shall be prescribed as per the Section 31 (i) of the Annamalai University Act, 2013.

#### FEE COMMITTEE

- (2) There shall be a **Fee Committee** with the following members, for making recommendations to the Syndicate for fee fixation (Syndicate Resolution No. 11 dated 22.04.2015) :-

- |                                       |                          |
|---------------------------------------|--------------------------|
| (a) Vice-Chancellor                   | - Chairman               |
| (b) One Syndicate Member              | - Member *               |
| (c) Registrar                         | - Member Secy./ Convener |
| (c) Finance Officer                   | - Member                 |
| (d) Dean of the<br>respective Faculty | - Member                 |

\* Academic Council Resolution No. 1.35, dated 25.06.2016

- (3) The fee structure shall be fixed by the Syndicate, based on the recommendation of the Fee Committee.

#### TRANSITORY PROVISIONS

##### **Amendments to the Ordinance**

- (4) These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when situation warrants.

##### **Interpretation of the Ordinance**

- (5) If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## **ORDINANCE**

### **PART – VII**

#### **CAMPUS LIFE OF STUDENTS**

- (1) The University shall enforce discipline among the students, making arrangements for promoting the health of the students and the conditions for the residence of students, with the approval of the Syndicate, as per Section 31 (c) and Section 4 (10) of the Annamalai University Act, 2013.

#### **Discipline**

- (2) The continuance of each student upon the rolls of the University and of the hostels, his / her graduation and the conferring of any degree or the granting of any certificate are strictly subject to the disciplinary powers of the University which is free to cancel his/her registration at any time on any ground if it deems advisable.
- (3) The disciplinary authority of the University is vested in the Vice-Chancellor and in such cases as he / she deems proper and subject to the reserved powers of the Vice-Chancellor, in the Dean of the Faculty or the Principal of the Institution when such are appointed.
- (4) Every pupil shall wear a clean and respectable dress.
- (5) Every pupil shall salute the teachers on the occasion of his / her first meeting for the day within the University precincts.
- (6) On the teacher entering the class room, the pupils shall rise and remain standing till they are desired to sit or till the teacher takes the seat.
- (7) No pupil shall be allowed to leave the class room without the permission of his / her teacher, or until the class is concluded by the teacher.

- (8) No student who has been convicted in a Court of Law for disloyal activities or who has been detained under the Defence of India Rules shall be admitted or re-admitted in the University.
- (9) The student should abstain from active participation in party or communal politics.
- (10) The student should not indulge or participate in any kind of ragging. If he / she found to have indulged in ragging in the past and noticed later, he / she will be removed from the roll of the institution at whatever stage of his/her study and criminal action will be taken against him / her.
- (11) If any student is involved in ragging or any other anti-social activities, he / she will be expelled and criminal proceedings may be launched against him / her.

#### **HEALTH OF THE STUDENTS**

- (12) There shall be a Medical Officer or Officers in the University and if there are two or more officers, one of them shall be appointed as the Chief Medical Officer.
- (13) Every student shall on admission to the University, present, besides the other prescribed certificates, certificate of medical inspection, wherever possible, from the school or college last attended.
- (14) Every student of the University shall be required to undergo a medical inspection each year of his / her course in the University.
- (15) All students of the University newly admitted into the University in a year shall present themselves for physical and medical examination before the Director of Physical Education and the Medical Officer respectively in the first term / semester of the year on the dates and at the hours notified by these officers.
- (16) All other students shall present themselves for such examination in the second term / semester of the year on such dates and at such hours as may be notified by the above officers.

### **PHYSICAL TRAINING FOR THE STUDENTS**

- (17) There shall be a Director of Physical Education in the University.
- (18) The students are required to obey the rules in force from time to time relating to the hostels (Attendance, Conduct, Behaviour and Discipline). Students are required to obey the rules in force from time to time relating to Physical Education, Membership in the NCC, NSS, the Athletic Association and Games & Activities generally.
- (19) At the end of each term / semester, the Director shall grant a certificate to each student who has qualified himself for it.

### **CONDITIONS FOR THE RESIDENCE OF STUDENTS**

- (20) **Register of Lodgings:** The Registrar shall maintain a register of approved lodgings and recognised hostels, in which alone students can reside.
- (21) **Board of Residence :** There shall be a Board of Residence, Health and Discipline. The Board shall consist of the following members :-
  - The Vice-Chancellor (Chairman)
  - The Registrar of the University (Secretary to the Board)
  - The Deans of Faculties
  - The Chief Medical Officer of the University
  - The Convener of Wardens Committee
  - The Wardens of the Hostels
  - The Director of Physical Training
- (22) **Powers of the Board :** The powers and duties of the Board of Residence, Health and Discipline shall be:-
  - (i) to frame rules, subject to the laws of the University, relating to:
    - a) the residence of students,
    - b) the health of students,
    - c) the discipline of students,
    - d) the physical training of students; and
  - (ii) to advise the Syndicate on the provision of residential accommodation, playgrounds, etc.

- (23) **Annual Report** : The Board shall report to the Syndicate once in a year on its working and on the condition of the University Buildings in so far as they affect the health and accommodation of students.
- (24) Students of the University shall conform to the rules drawn up by the Board of Residence, Health and Discipline. The students are required to obey the rules in force from time to time relating to the Hostels (Attendance, Conduct, Behaviour and Discipline).

### **TRANSITORY PROVISIONS**

#### **Amendments to the Ordinance**

- (25) These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when situation warrants.

#### **Interpretation of the Ordinance**

- (26) If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

**ORDINANCE**  
**PART – VIII**  
**TERMS AND CONDITIONS OF**  
**APPOINTMENT OF H.O.D.**

- (1) As per Section 46 of the Annamalai University Act, 2013, each Department of the Annamalai University shall have a Head who shall be a Professor or Director. The Head of the Department shall be appointed by the Vice- Chancellor.
- (2) If there is more than one Professor in any Department, the Vice-Chancellor shall appoint such Professor, as he / she thinks fit to be appointed as the Head of the Department.
- (3) If there is no Professor in a particular Department, an Associate Professor or an Assistant Professor may be appointed as Head of the Department.
- (4) The Vice-Chancellor shall have power to prescribe the duties and functions and terms and conditions of appointment of Head of the Department, with the approval of the Syndicate.
- (5) The Head of the Department shall look after the Academic and administrative activities including the day to day activities in the Department.
- (6) In addition to this, he / she shall perform such other functions also as may be prescribed by the Vice-Chancellor, with the approval of the Syndicate, as and when situations warrants.

**Tenure of Office**

- (7) A person appointed as Head of the Department shall hold office as such for a period of three years and shall be eligible for reappointment.
- (8) The holder of the post of Head of the Department shall retire at the age of 60 years.

- (9) It shall be the power of the Vice-Chancellor to revert the Head of the Department to his / her original position.
- (10) It shall be open to a Professor or an Associate Professor or an Assistant Professor to decline the offer of appointment as Head of the Department.
- (10) A Head of the Department may resign his / her office at any time during his / her tenure of office.

### **TRANSITORY PROVISIONS**

#### **Amendments to the Ordinance**

- (11) These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when situation warrants.

#### **Interpretation of the Ordinance**

- (12) If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## **ORDINANCE**

### **PART – IX**

#### **FUNCTIONS AND RESPONSIBILITIES OF OFFICERS**

The Deans of Faculties stipulated in Statute No. 37, other Officers stipulated in Statute No. 31 (a) of the Annamalai University Statutes, and the Heads of the Departments stipulated in Ordinance Chapter - IX, excluding the Registrar, the Controller of Examinations and the Finance Officer, shall perform the functions and responsibilities as prescribed below:-

**(1) Dean**

- (i) The Dean shall be the Head of the Faculty and shall be responsible for the conduct and maintenance of the standards of teaching and research in the Faculty under his / her control.
- (ii) He / She shall have the right to be present and to speak at any meeting of the Board of Studies or Committees or the Faculty, as the case may be, but shall not have the right to vote thereat unless he / she is a member thereof.
- (iii) He / She shall advise students of the Faculty before admission and at all times with reference to their Programmes of study.
- (iv) He / She shall be responsible for the due observance of the Laws relating to the Faculty and the Programmes of study therein.
- (v) At the end of every academic year, he / she shall submit a report on the work of the Faculty during the year to the Vice-Chancellor who may communicate it either in whole or in part to the Academic Council for such action as the Council may think fit to do so.

- (vi) He / She shall coordinate with the Head of the Departments for academic matters such as Regulations, Curriculum and Syllabi and other academic matters of the Departments.
- (vii) He / She shall coordinate with Heads of the Departments and other senior Professors to identify and introduce new value added courses, inter-departmental electives and on-line courses, for every semester, for the benefit of the students.
- (viii) He / She shall coordinate research activities of the Faculty and coordinate with HODs to promote inter-departmental research activities.
- (ix) He / She shall coordinate with the Director, Admissions, in the conduct of entrance test, if necessary for the admissions of students.
- (x) He / She shall promote innovation in research, teaching-learning, new pedagogical methods, etc.
- (xi) He / She shall supervise and coordinate with the HODs in matters of student discipline and attendance.
- (xii) He / She shall ensure academic standards, improve teaching-learning process, quality of research, and quality of publications.
- (xiii) He / She shall ensure sharing of resources among the Departments and encourage inter-departmental and inter-disciplinary research.
- (xiv) He / She shall coordinate with the HODs of the Faculty to assess the requirements of equipment, machineries, PCs, Software, etc, for inclusion in the budget of the Departments.

- (xv) He / She shall coordinate with the HODs to give technical specifications for inviting quotations for the purchase of equipment, etc.
- (xvi) He / She shall encourage and guide the faculty members to apply for projects funded by the Government / Non-Government organizations and take up consultancy works.
- (xvii) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.
- (xviii) He / She shall encourage/motivate the students to undertake NET / SET / GATE / GRE / CAT / TOEFL / other competitive examinations.

**Deans Committee**

- (xix) The academic calendar shall be prepared by close coordination of Controller of Examinations, Director, Academic Affairs and Director, Admissions.

**(2) Director, Directorate of Distance Education**

- (i) The Director shall be in-charge of the functions of the Academic and Administrative Wings of the Directorate of Distance Education, in all academic matters and policies thereto.
- (ii) He / She shall take decisions in consultation with the concerned Deans and Heads of the Departments of the University.
- (iii) He / She shall work in close coordination with various Study Centres and improve the admission of students.
- (iv) He / She shall work and coordinate to get accreditation from DEB / UGC and other statutory bodies.

- (v) He / She shall prepare short-term and long-term plans and implement strategies for improving the overall admissions of students in various Distance Education Programmes.
- (vi) He / She shall be a member in all the Faculties for approving Programmes / courses offered through distance education mode
- (vii) He / She shall work in all matters under the control of the Vice-Chancellor and the Registrar.
- (viii) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor and the Registrar.

**(3) Director, Admissions**

- (i) The Director shall conduct the Entrance Examination, if necessary, for admissions to various Programmes, in accordance with the policies of the Government of Tamil Nadu / University regulations governing the admissions of students.
- (ii) He / She shall be responsible for the preparation of application form and Prospectus for various Programmes.
- (iii) He / She shall be responsible for the advertisement for admissions to various Programmes at the appropriate time.
- (iv) He / She shall be responsible for scheduling the counseling date and admission for various Programmes.
- (v) He / She shall look after the entire process of admission including payment of fee by the students and scholarship for eligible students.
- (vi) He / She shall be responsible for refund of fee for those students who joined and discontinue the Programme at different levels during the academic year as per the norms of Government / Regulatory Bodies.

- (vii) He / She shall also be responsible for promoting admission of international students in the University.
- (viii) He / She shall coordinate for the various requirements of international students with State or Central Govt. as the case may be.
- (ix) He / She shall be responsible for preparing list of Medalist, prize winners for Convocation.
- (x) He / She shall be in-charge for the allotment of seats in the Convocation Hall, to the prize winners.
- (xi) He / She shall be responsible for providing the details about the students of the University pursuing various Programmes.
- (xii) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(4) Director, Academic Affairs (DAA)**

- (i) The Director shall coordinate in conducting Boards of Studies, convene Academic Council and other related activities.
- (ii) He / She shall arrange to formulate the Regulations, Curriculum and Syllabi for all Under Graduate and Post Graduate Programmes in consultation with the Deans of Faculties and the Heads of the Departments.
- (iii) He / She shall arrange to monitor registration and enrolment of students in various academic Programmes.
- (iv) He / She shall finalize the academic schedule and schedule for various assessment tests in consultation with the Deans, Controller of Examinations and Director, Admissions.

- (v) He / She shall coordinate with the Deans of Faculties and the Heads of Departments in matters relating to initiating new Programmes and new courses, and their approval by the respective regulatory bodies.
- (vi) He / She shall coordinate with the Deans of Faculties and Heads of Departments to introduce value added courses, online courses and other inter-departmental elective courses.
- (vii) He / She shall be responsible for formulating question paper pattern based on Outcome Based Education (OBE) and Bloom's Taxonomy in close coordination with the Deans and Heads of Departments.
- (viii) He / She shall ensure the smooth conduct of classes / laboratories, proper entry of students' attendance registers and other academic related works.
- (ix) He / She shall arrange to ensure parity/inter-departmental standard of curriculum, syllabi, regulations, teaching-learning processes, evaluation system and reforms and other related matters.
- (x) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(5) Director, Directorate of Research & Development (DRD)**

- (i) The Director shall promote research activities in the University.
- (ii) He / She shall enhance the number of sponsored projects, consultancy, testing and others.

- (iii) He / She shall collect information about the new call for proposals from the website / newspaper advertisement from different funding agencies and communicate to all faculty members and motivate them to get funds for research and development.
- (iv) He / She shall monitor for timely release of advances, settlement of advances in 30 days, timely submission of Statement of Expenditure (SE) and Utilization Certificate (UC) by P.I.s to the Funding Agencies.
- (v) He / She shall enforce P.I. to utilize the funds as per the guidelines of the funding agencies and avoid lapse of funds.
- (vi) He / She shall conduct periodical training Programmes to the teachers for preparing research project proposals.
- (vii) He / She shall explore various Research and Development Activities of other Research institutions and create awareness among the faculty, researchers and students in the University.
- (viii) He / She shall organize lectures by inviting experts from the funding agencies for the preparation of research project proposals.
- (ix) He / She shall initiate actions to get the approval from the authorities in execution of various research projects and consultancy projects within a week.
- (x) He / She shall ensure that the Faculty members, who participate in Overseas Conferences / Seminars, etc., shall make a presentation about the knowledge gained to all the stakeholders of the Faculty.

- (xi) He / She shall be responsible in gathering information about the notifications of Funding Agencies and disseminate to the faculty members, enabling them to submit the research project proposals in time with high quality.
- (xii) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(6) Director, Directorate of Academic Research (DARE)**

- (i) The Director shall arrange to formulate Ordinances / Regulations for Research Programmes and other related academic research activities of the Departments, Faculties and Centres.
- (ii) He / She shall arrange to look after the admission, progress of research scholars and all other activities associated with research scholars.
- (iii) He / She shall prepare the Prospectus for admission every academic year, containing all the details mentioned in the Ph.D. Ordinance, together with the details of tuition fee and other fees including Hostel fee and the various Scholarships available to the students.
- (iv) He / She shall make arrangements for the constitution of Departmental Research Committee with the approval of the Vice-Chancellor for the selection of candidates for Ph.D. Programmes as prescribed in the Ph.D. Ordinance.
- (v) He / She shall make arrangement for the constitution of Research Advisory Committee with the approval of the Vice-Chancellor for each candidate (Full-time, Part-time Internal and Part time – External) after his/her admission to Ph.D. Programme as prescribed in the Ph.D. Ordinance.

- (vi) He / She shall circulate details about various research fellowships to the Heads of the Departments for display in the Department Notice Board.
- (vii) He / She shall issue necessary orders to conduct Viva-voce Examinations for Ph.D. Scholars.
- (viii) He / She shall collect the publications of research scholars.
- (ix) He / She shall make necessary arrangements to monitor the progress of research and quality of Publications.
- (x) He / She shall make arrangements for Question Paper setting, arrangement of Ph.D. course work examinations, Central Valuation and publication of results in co-ordination with Controller of Examinations.
- (xi) He / She shall expedite the process of thesis evaluation, conduct of Viva-voce examination and award of degree.
- (xii) He / She shall arrange to communicate the award of Ph.D. Degree, Provisional Certificate, UGC compliance certificate, UGC-NET / SET exemption certificate etc., which are related to research scholars.
- (xiii) He / She shall be responsible to sort out any issues of research scholars in coordination with the Research Supervisor, the Head of the Department and the Dean, concerned.
- (xiv) He / She shall arrange to place the reports of examiners before the Research Advisory Committee (RAC) to seek their comments and arrange to conduct Ph.D. Viva-voce examination.
- (xv) He / She shall be responsible for the speedy adjudication process of Ph.D. thesis.
- (xvi) He / She shall ensure timely payment of TA / DA and remuneration to the Examiners.
- (xvii) He / She shall perform any other function as may be assigned to him/her from time to time by the Vice-Chancellor.

**(7) Director, Student Support and Progression**

- (i) The Director shall look after the students' welfare and their needs.
- (ii) He / She shall also look after the students discipline in the Hostels in close coordination with the Convener of Hostels and Wardens.
- (iii) He / She shall coordinate with Heads of Departments for co-curricular and extracurricular activities including Physical Education, NCC, NSS, YRC, etc.
- (iv) He / She shall ensure students' discipline in the Campus.
- (v) He / She shall be responsible for intimating details about various scholarships / endowments / other schemes for the benefit of students.
- (vi) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(8) Director, Training, Placement and Entrepreneurship**

- (i) The Director shall co-ordinate with the Placement Officers of all Faculties, all recruitment agencies and companies for placement of students.
- (ii) He / She shall organize industrial meets periodically in collaboration with AIIRF – EDII (Annamalai Innovative and Incubation Research Foundation. Entrepreneurship Development Innovation Institute) to develop rapport between the University and Industries.
- (iii) He / She shall periodically arrange get-together in the University along with recruitment agencies and Companies and get feedbacks on the strengths, weaknesses and limitations of the academic Programmes of the University.

- (iv) He / she shall identify Alumni Entrepreneurs and get them to campus for training and placement.
- (v) He / She shall arrange industrial training / internships for students related to their disciplines.
- (vi) He / She shall take appropriate measures to improve the soft skills of students.
- (vii) He / She shall arrange Personality Development Programmes for students.
- (viii) He / She shall be responsible for arranging training Programmes for the improvement of the placement potential of the students.
- (ix) He / She shall be responsible for placing the faculty for industrial training for short duration.
- (x) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(9) Director, Internal Quality Assurance Cell**

- (i) The Director shall carry out all activities relating to accreditation and assessment processes.
- (ii) He / She shall ensure preparation of the Annual Quality Assurance Report (AQAR) and uploading the same, as per guidelines and parameters of NAAC.
- (iii) He / She shall upload data for NIRF, AISHE and other rankings.
- (iv) He / She shall ensure timely and efficient academic and administrative audits.
- (v) He / She shall make the University prepared for changes in Higher Education.
- (vi) He / She shall work to develop quality benchmarks for various academic and administrative activities of the University.

- (vii) He / She shall facilitate the creation of a learner – centric environment
- (viii) He / She shall facilitate the conduct of Student Satisfactory Survey and other feed back responses from students, parents and other stakeholders on quality related institutional processes.
- (ix) He / She shall organize training programmes, workshops, seminars for the Faculty on quality related themes and promotion of quality circles
- (x) He / She shall develop and maintain institutional database for the purpose of maintaining / enhancing the institutional quality.
- (xi) He / She shall ensure that the Annual Report of the University shall be prepared by the IQAC, by December of the subsequent Academic Year and submitted to the Academic Council in its next meeting with the approval of Syndicate.
- (xii) He / She shall strive to promote Quality Culture in this institution.
- (xiii) He / She shall ensure that University is periodically subjected for green, energy and environment audits.
- (xiv) He / She shall motivate and coordinate the various Departments towards execution of good practices.
- (xv) He / she shall perform any other function as may be assigned to him / her from time to time by the Vice-Chancellor.

**(10) Director, Centre for Alumni Relations**

- (i) The Director shall facilitate meaningful connections that fosters relationships between the alumni and their alma mater.
- (ii) He / She shall coordinate the interaction of alumni with the University students that will help the students in their career advancement, skill enhancement, participation in internships and projects.
- (iii) He / She shall arrange to provide scholarships for deserving students with the support of alumni.
- (iv) He / She shall involve alumni in voluntary programmes like mentoring students in their areas of their expertise.
- (v) He/ She shall involve alumni for the improvement of the curriculum based on the current need.
- (vi) He /She shall arrange alumni meets and reunions to benefit students and their alma mater.
- (vii) He / She shall perform any other function as may be assigned to him / her from time to time by the Vice- Chancellor.

**(11) Head of the Department (HOD)**

- (i) The Head of the Department (HOD) is the administrative and academic head of the Department, and shall be responsible for all the activities of the Department.
- (ii) He / She shall maintain the general discipline of students and staff of the Department.
- (iii) He / She shall sanction casual leave of the faculty and staff and maintain an account of the leave availed.
- (iv) He / She shall forward other kinds of leave applications to the Registrar with his / her specific recommendation.
- (v) He / She shall prepare the annual budget in consultation with the Dean of the Faculty for every financial year and

submit it to the Registrar before the end of January with necessary justification for the proposed additional laboratory spaces, if any, and procurement of equipment, machineries, instruments, computers, software, etc.

- (vi) (a) He / She shall be responsible for the purchase of equipment / products / services available in Govt. e-Market (GeM) by following the Gem guidelines in force.  
(b) If the product is not available in GeM, he / she shall follow the procedure of calling for quotations for the items approved in the budget with detailed technical specifications, preparation of comparative statement and completion of purchase.  
(c) He / She shall be responsible to follow the Tender Procedure wherever necessary, by following the existing orders in force.  
(d) He / She shall maintain stock entry in the appropriate stock register and pass the bills as per the existing norms / procedures prescribed for the items purchased in both the methods mentioned in (a), (b) and (c) above.
- (vii) He / She shall ensure the proper maintenance and use of equipment and other facilities.
- (viii) He / She shall appoint Mentors, Co-ordinators, Class Committees, Class Advisors, Faculty Advisors, etc. for the department and make the atmosphere of learning student-centric.
- (ix) He / she shall be responsible to maintain harmony among Faculty Members and Non-Teaching Staff.
- (x) He / She shall propose new Programmes and initiate actions to increase the intake of students in consultation with the Dean of the Faculty.

- (xi) He / She shall arrange to initiate and take up with the Dean, Director, Academic Affairs for any change in the Ordinances / Regulations.
- (xii) He / She shall have general supervision of the work of students in the Department.
- (xiii) He / She shall be the Chairperson of the Board of Studies of the Department and shall make arrangements to update the syllabi periodically.
- (xiv) He / She shall oversee the teaching performance, research activities and funded projects of his / her Department.
- (xv) He / She shall organize Seminars/ Conferences / Symposia/ Workshops / Training Programmes on topics of relevance and importance in the department with the financial support from external agencies.
- (xvi) He / She shall guide the young faculty in academic, research and administrative matters of the Department.
- (xvii) He / She shall perform any other function as may be assigned to him/her from time to time by the Vice-Chancellor and the Registrar.

## **TRANSITORY PROVISIONS**

### **Amendments to the Ordinance**

These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when the situation warrants.

### **Interpretation of the Ordinance**

If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## ORDINANCE

### PART – X

#### PROCEDURE TO BE FOLLOWED FOR FILLING UP THE TEACHING POSTS

##### **(Section 45 (5) of the Annamalai University Act, 2013)**

- (1) The regular vacancies of Teaching posts shall be filled up after obtaining approval from the Syndicate. Subsequently an advertisement shall be made for the posts in prominent newspapers in Tamil and English having wide circulation in Tamil Nadu.
- (2) The time limit for receiving the applications from the candidates shall be specified in the advertisement itself.
- (3) Applications received after the due date shall not be considered.
- (4) The Establishment Section shall receive the applications within the time limit prescribed and hand over the same to the Screening Committee to be constituted by the Vice-Chancellor as and when required.
- (5) The Screening Committee shall reject the applications which do not fulfill the eligibility criteria, and select eligible applications for interview and hand over the list to the Selection Committee.
- (6) The constitution of the Selection Committee shall be as prescribed in Chapter XIII of the Annamalai University Statutes.
- (7) The selection for such appointment by the Selection Committee shall be made in accordance with the guidelines that are issued by the respective authorities such as UGC, AICTE, ICAR, NCTE, PCI, etc., from time to time and select suitable candidates to be considered for recruitment based on merit. (Proviso to Section 45 (2) of the Annamalai University Act 2013).

- (8) The Selection Committee shall conduct interview and recommend suitable candidates, based on the qualifications and performance in the interview, to the Syndicate for appointment to the posts of Assistant Professor, Associate Professor, Professor, Librarian and other posts of teachers of the University (Section 45 (1) of the Annamalai University Act 2013).
- (9) After the approval of the Syndicate, the selected candidates shall be appointed to the Teaching Posts.
- (10) If the Syndicate is unable to accept the recommendations made by the Selection Committee, it shall record the reasons and submit the case to the Chancellor for final orders (Section 45 (6) of the Annamalai University Act 2013).
- (11) The guidelines prescribed by the Government of Tamil Nadu regarding rule of reservation as in force shall be followed while making appointments to the Teaching posts.

### **TRANSITORY PROVISIONS**

#### **Amendments to the Ordinance**

These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when the situation warrants.

#### **Interpretation of the Ordinance**

If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.

## **ORDINANCE**

### **PART – XI**

#### **SPECIAL MODE OF APPOINTMENT**

##### **(Section 52 of Annamalai University Act 2013)**

- (1) The Vice-Chancellor shall appoint a teacher or any other academic staff working in any other University or Organisation, with the approval of the Syndicate, for undertaking a joint project, as stipulated in Section 52 (2) of Annamalai University Act 2013.
- (2) Whenever there is necessity to utilize an academic staff of other University or Organisation with expertise and experience in a particular discipline, such person shall be appointed for the purpose mentioned in Ordinance (1) above.
- (3) While making appointment in this regard, it shall be ensured that no such academic staff with expertise and experience in a particular discipline is available in the Faculties of Annamalai University.
- (4) It shall be ensured from the parent University of the academic staff concerned that no disciplinary action is pending or contemplated against him / her.
- (5) The academic staff appointed under this category must have sufficient leftover service till the completion of the joint project of Annamalai University.
- (6) An undertaking shall be obtained from him / her that he / she is willing to render necessary assistance to Annamalai University till the completion of the joint project.
- (7) The University shall pay honorarium to be fixed on mutual terms, till the completion of the joint project.
- (8) It shall be the power of the Vice-Chancellor to revert him / her back to his / her parent University / Organization at any time, if it deems fit to do so and report the same to the Syndicate.

## **TRANSITORY PROVISIONS**

### **Amendments to the Ordinance**

These Ordinances are subject to modifications or amendments as may be made from time to time by the Syndicate, as and when the situation warrants.

### **Interpretation of the Ordinance**

If any dispute arises in the interpretation of these Ordinances, the decision of the Syndicate shall be final.