

CHRIST (Deemed to be University), Bengaluru-560029

CU Regulation for the Degree of Doctor of Philosophy 2022

A. Preamble

Christ University, formerly Christ College affiliated to Bangalore University, established in July 1969 was declared an Institution Deemed to be University by Notification No. F. 9-34/2007-U.3 (A) dated 22 July 2008 of the Ministry of Human Resources Development (MHRD) under Section 3 of the UGC Act 1956. Guided by the instruction of UGC pursuant to the Order of the Hon'ble Supreme Court, Christ University changed its name as CHRIST (Deemed to be University) with effect from 30 November 2017.

B. Policy

The University encourages PhD Research of highest quality on subjects and topics within its authorised Disciplines which has implications on core knowledge, value added applications and innovativeness. Appendix I: CU Regulation for Delegation of PhD Programme to Academic Departments 2018 is incorporated into this Regulation as an addendum. The operational guidelines including the Explanatory Note on Research Advisory Committee (RAC) is part of this Regulation as an addendum (Appendix II).

C. Regulation

This Regulation of the University lays down the conditions and procedures for the award of the Degree of PhD. It is the revised and updated version of the Regulation for the Degree of Doctor of Philosophy 2019 and complies with the guidelines contained in the University Grants Commission (Minimum Standards and Procedure for Award of MPhil/PhD Degrees) Regulations, 2022 and the notified amendments thereto. This Regulation shall be applicable to PhD Scholars admitted from December 2022.

1. Format of the PhD Programme

- a. Award of Degree of PhD by CHRIST (Deemed to be University) will require the candidates to successfully complete the structured Coursework (including general and domain related Research Methodology, Research and Publication Ethics and Teaching Methodologies), Comprehensive Research Work, Publications in Refereed Journals, Participation and/or Presentation in Doctoral Colloquium/National or International Seminars, Synopsis Review, Thesis Evaluation and Public Defense.
- b. The Programme shall be on full-time basis. Candidates who are engaged in employment with a minimum work experience of two years in a related field may be admitted to the Programme with the consent of their employer in the prescribed form and subject to their full-time presence for the Coursework of stipulated duration and full compliance of all other requirements of this Regulation.
- c. There shall be no PhD Programme in Distance Education Mode.

- d. The PhD Degree Certificate will indicate the Discipline under which the Programme was pursued, the Title of the Thesis and the Date of Public Defense.

2. Duration of the Programme and Fee Rules

- a. The PhD Programme shall be for a minimum duration of three (3) years including the Coursework and maximum of six (6) years for both full-time and part-time mode other than under Clause 2.d.
- b. A full-time PhD Scholar shall be present during all the working days of the University and shall not undertake any employment while being on rolls of the University. However, the University after the recommendation of the RAC can permit a candidate to opt for the part time doctoral programme.
- c. Part-time PhD Scholars are free to undertake any employment that does not conflict with the quality research of the candidate. Every part-time scholar is expected to be present in the University and have research meetings with the supervisor at least twice a month or once a fortnight.
- d. A maximum of an additional two (2) years can be given through a process of re-registration in cases recommended by the Centre for Research and approved by the Doctoral Committee of the University; provided, however that the total period of the completion of the PhD programme should not exceed eight (8) years from the date of admission to the PhD programme
- e. Women candidates and persons with disability (more than 40 per cent disability) may be allowed a relaxation of up to two years; however, the total period for completion of a PhD programme in such cases should not exceed ten (10) years from the date of admission in the PhD programme.
- f. In addition, the women candidates may be provided Maternity Leave/Child Care Leave for up to 240 days once in the entire duration of the PhD programme.
- g. The Course Fee for the PhD Programme as may be notified shall be payable yearly in advance for every year of its duration.
- h. In case, the duration is required to be extended beyond the maximum period as indicated above shall be subject to approval of the Doctoral Committee (DC) based on the recommendation of the RAC. The candidate shall be required to pay the prescribed annual fee for each year or part thereof of extension prior to such extension.
- i. No extension beyond one year shall be considered at any one point of time and any request for extension beyond the first extension will carry a Course Extension Fee as may be prescribed.

3. Doctoral Committee

The University shall have a centralised Doctoral Committee (DC) to be the apex body to oversee and approve the conduct of all PhD Programmes of the University. The DC shall be responsible for all policy decisions concerning

the doctoral programmes (PhD) of the University duly supported by scholar-wise Research Advisory Committees.

- i. Specific responsibilities of DC shall include:
 - a. Approval/ratification of enrolment of students provisionally admitted to the PhD Programmes conducted by the University including ratification of their eligibility norms.
 - b. Approval for empanelment of Supervisors and Co-Supervisors for the PhD Programmes conducted by the University including variations (by exception) in their eligibility norms and fixing the number of scholars they may supervise.
 - c. Approval of discipline wise coursework
 - d. Review of the Progress Reports of the Scholars as may be approved by the RAC.
 - e. Approval of External Experts for Synopsis Review/Defense Examination.
 - f. Approval of continuation of Supervision by the retiring/discontinuing faculty and/or change of Supervisor under exceptional circumstances.
 - g. Approval of disciplinewise annual/cohort intake for PhD programmes depending on the availability of eligible Research Supervisors duly considering scholar-supervisor ratio and the required academic /physical facilities for research.
- ii. The DC shall have a minimum of 10 and maximum of 15 members including the permanent invitees and shall consist of the following members:
 - a. Vice Chancellor - Chairperson
 - b. Pro-Vice Chancellor - Deputy Chairperson
 - c. Director/Additional Director of the Centre for Research - Secretary
 - d. Up to two Deans (by rotation) from among Research Disciplines nominated by the Vice Chancellor.
 - e. Up to three members (by rotation) from among the Research Supervisors (representing Sciences/Engineering, Social Sciences/Law /Arts and Humanities, Commerce /Management and Architecture) nominated by the Vice Chancellor.
 - f. Two External Experts with research credentials nominated by the Vice Chancellor.
 - g. Controller of Examinations - Permanent Invitee
 - h. Registrar - Permanent Invitee
- iii. The DC shall meet as and when needed but at least twice in a year. The Quorum for the Meetings of DC will be six (6) members other than invitees present.

- iv. All nominated members of DC shall have a tenure of three years who may be reappointed at the discretion of the Vice Chancellor.

4. Research Disciplines

- a. Following academic disciplines have been approved for the doctoral research programme: Architecture, Biotechnology, Botany, Chemistry, Civil Engineering, Commerce, Computer Science, Computer Science and Engineering, Cultural Studies, Data Science, Economics, Education, Electrical and Electronics Engineering, Electronics and Communication Engineering, English Studies, Forensic Science, History, International Studies, Law, Management, Mathematics, Mechanical Engineering, Media Studies, Physics, Political Science, Psychology, Social Work, Sociology, Statistics, Tourism, Zoology
- b. More disciplines may be added from time to time with the approval of the Academic Council and the Board of Management of the University.

5. Eligibility for the Programme

- a. The following are eligibility criteria for admission to the PhD programme:
 - i. A 1-year/2-semester master's degree programme after a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55 percent marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution. A relaxation of 5 per cent marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates. Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75 per cent marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5 per cent marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled, Economically Weaker Section (EWS) and other categories of candidates.

Candidates admitted after a 1 year/2 semester master's degree after a 4 year bachelor's degree will be required to undergo a one year course work on general and specific research methodology.

- ii. Candidates who have completed the MPhil programme with at least 55 per cent marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorised by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the PhD programme. A relaxation of 5 per cent marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates.
 - iii. A pass in the Entrance Test and Interview conducted by CHRIST (Deemed to be University). Entrance Test for those students who qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ SLET/ GATE/ CEED and similar national level tests approved by the University may be exempted.
- b. Professional qualification in Chartered Accountancy /Cost Accountancy/ Company Secretary as awarded by the respective Statutory Institutes of India will be considered as equivalent to Master's Degree for the purpose of enrolment for PhD in Commerce, Management and/or related disciplines as approved by the Regulatory Authority concerned.
 - c. No candidate will ordinarily be permitted for admission to PhD programme in a Subject/Faculty different from the one in which the candidate has obtained the Master's Degree. However, permission to pursue in a different Subject/Faculty may be considered by the DC in special cases with conditions as may be prescribed.

6. Admission Process

- a. The Office of Admissions by or during March and October shall publish the admission notification in the University website and also in two national newspapers of which one shall be in the regional language. It shall specify the subject/ disciplinewise distribution of available seats, eligibility criteria, application procedure, centre/s for entrance test, scheduled date of test /interview and such other relevant information for the benefit of the candidates.
- b. Students who have qualified UGC-NET (including JRF)/ UGC-CSIR NET (including JRF)/ SLET/ GATE/ CEED shall apply for PhD any time of the year by sending their research proposal and curriculum vitae to research@christuniversity.in
- c. The Application Form for PhD along with the Research Proposal shall be filed online through the specified link in the University Website (www.christuniversity.in) as per the directions given therein and by paying Online the prescribed non-refundable Admission Processing Fee.

- d. Candidates who meet eligibility criteria and whose Application is complete in all aspects can download the E-Admit Card to appear for the Admission Process.
- e. The admission process will consist of an Online Entrance Test for 100 Marks of two hours duration followed by a personal interview. The syllabus for the entrance test will cover 50 per cent relating to General Research Methodology and 50 per cent on specific Discipline. Candidates must score at least 50 per cent in the Entrance Test.
- f. A relaxation of 5 per cent marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/Differently abled category, Economically Weaker Section (EWS), and other categories of candidates.
- g. The Personal Interview will be organised by the Office of Admissions on specified date/time (generally on the same date of Entrance Test) by constituting an Interview Board of three members consisting of the Head of the Department concerned or a Senior Professor/Associate Professor from the Department, a Supervisor in the field of Research and a chosen independent member from the panel of specific discipline experts recommended by the Centre for Research/Department concerned.
- h. Candidates will be required to make a presentation of their Research Proposal to the Interview Board.
- i. Every member of the Interview Board will independently assess the Research Proposal /Candidate competency on a joint sitting based on the criteria such as the clarity of the proposed research problem including value added by the proposed research, research aptitude, analytical and interpretational skills, and the general subject knowledge of the candidate. The members will independently submit their individual assessment about the Candidates to the Office of Admissions in the prescribed format.
- j. The Office of Admissions will consolidate the candidate assessment duly compiling the scores on Eligibility Norms, Entrance Test, Personal Interview and Publications evaluated on a total Score of 100 Points (as per specified Format) and prepare disciplinewise rank list of Provisional Admissions of candidates who have secured a total Score of at least 50 Points and forward the same to the Centre for Research. For the purpose of reckoning the score points the weight will be 70 per cent for Entrance Test and 30 per cent for Interview/Viva Voce.
- k. The Centre for Research will review the list of shortlisted applicants and forward the list of candidates approved for Provisional Admission to the Office of Admissions to notify individually to the selected candidates.
- l. The Office of Admissions will notify the selected candidates with direction to pay the prescribed Course Fee for the first year of the programme within the specified date and to appear for verification of documents.
- m. Deserving candidates of poor economic background may be considered for Fee Concession for which the candidate may make a written request with supporting documents of financial status and will meet the Fee

Concession Committee/ Chief Finance Officer of the University by prior appointment. This has to be completed after receipt of selection notification but prior to the date specified for payment of fee.

- n. The Office of Admissions in due course will forward the discipline wise list of candidates who have completed the document verification including fee payment to the Centre for Research and to the Head of the Department concerned (where the Department is authorised to conduct the PhD programme under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018) for commencement of the PhD coursework.
- o. The list of Provisional Admissions shall be presented for the approval of the DC, the Academic Council and the Board of Management.
- p. The Admission Process shall normally be completed within a period of sixty (60) days from closing date for receipt of applications.
- q. On the basis of the results of coursework completed by the candidate as conveyed to the Office of Admissions, the Provisional Admission of the successful candidates will be confirmed to proceed with their PhD research.
- r. The Office of Admissions of the University shall maintain a yearwise Admission Register for all students admitted (confirmed admission) to the PhD Programme with such details as may be specified. The University shall also carry in its website yearwise list of students registered for PhD duly displaying the name of the scholar, topic/discipline of research, name of the Supervisor /Co-Supervisor and the date of enrolment.
- s. The Centre for Research shall notify well in advance on the university website, the number of seats for admission, disciplinewise distribution of available seats, criteria for admission, the procedure for admission and other relevant information for prospective candidates.

7. PhD Programme Content and Conduct

- a. The PhD programme shall consist of mandatory coursework, Pre-Doctoral Colloquium on the Research Proposal and the Doctoral Research in that order. Duration of the coursework shall be six months which shall be counted within the overall normal duration of three years for the Programme. The credit assigned to PhD coursework shall be a minimum of twelve (12).
- b. The coursework will be based on specified syllabus divided into three or four units, duly approved by the DC, the Board of Studies (BOS) of the Department concerned and the Academic Council. The syllabus approved by the DC will be ratified by the BOS of the departments concerned. Where the departments wish to offer additional courses it shall be done in consultation with the Centre for Research and approved by the BOS of the department and the DC.

- c. The coursework will include topics on Foundations of Research, Research Methodology, Research and Publication Ethics, Research Writing, and Training in Teaching/Pedagogy/Andragogy.
- d. The coursework will be conducted by the Centre for Research or by the Department (where the Department is authorised to conduct the PhD Programme under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018) in conformity with the credit hour instructional requirement/assessment method and specified content as per the Syllabus and a structured Course Plan.
- e. The coursework will require mandatory attendance of 85 per cent and will be evaluated by conducting at least two (2) Continuous Internal Assessments (CIA) and End of the Course Examination (ECS). The final result for the coursework will be on a weight of 50 per cent each for CIA and ECS with a minimum pass mark of 50 per cent individually (for CIA and ECS) and 55 per cent in aggregate.
- f. The ECS and its valuation will be conducted independently under the guidance/direction of the Controller of Examinations.
- g. The Results of ECS will be announced within 30 days of its conclusion and will be individually communicated to the students.
- h. On successful completion of the coursework and comprehensive viva with the required marks/grade as specified in Sub-Clause (e) above, the candidate will be issued a Marks Card and the Coursework Completion Certificate by the Office of the Controller of Examinations based on the information conveyed by the Centre for Research or the Department concerned, as the case may be.
- i. Obtaining the 'Coursework Completion Certificate' by the candidate shall be a pre-requisite for confirmation of admission for the PhD programme in order to pursue the PhD research.
- j. Students who do not get minimum specified marks (50 per cent) for CIA may be given up to two chances for reassessment based on such new assignments as per the approved course requirements and as may be decided by the faculty concerned.
- k. Students who fail in ECS may be given one more opportunity by way of a Supplementary Examination which shall be held after a period of 30 days from the date of announcement of results but not later than 60 days thereof. Supplementary Examination shall be only for failed students.
- l. Students to write the Supplementary Examination will be required to pay a Fee as may be prescribed.
- m. Students whose attendance is below 85 per cent may be required to complete additional research assignment/s to be eligible to write the ECS and those who do not have at least 75 per cent attendance will not be permitted to write the ECS and may be required to repeat the coursework.
- n. Candidates who fail in the coursework even after one permitted supplementary examination will have their Provisional Admission

cancelled and may have to re-apply in case they wish to enrol for the Programme.

- o. There shall be no refund of fee already paid by the candidates whose admission could not be confirmed due to failure in coursework.
- p. The 'Pre-Doctoral Colloquium' refers to a deliberated review of the Research Proposal in a presentation by the Candidate (Student) in consultation with the assigned Supervisor to a forum of Experts/RAC, invited Professors and interested Research Scholars. The colloquium which shall be generally held within one month of the announcement of the result of coursework may suggest various aspects of the Research Proposal including but not limited to thesis title, scope of research, methodology and statistical tools. The suggestions offered during the colloquium need not necessarily be adopted absolutely but must be given due consideration by the scholar based on appropriate guidance of the Supervisor concerned.
- q. Post Pre-Doctoral Colloquium the scholar will be recognised as a Research Scholar to proceed with PhD research under the guidance of the Supervisor, which shall be subject to a minimum of bi-annual reviews by the duly constituted RAC.
- r. PhD scholars may be assigned four (4) to six (6) hours per week of teaching/research assistantship for conducting tutorial or laboratory work and evaluations. PhD Scholars availing UGC-NET/UGC-CSIR NET and similar fellowships may be assigned up to ten (10) hours of teaching/research assistantship for conducting tutorial or laboratory work and evaluations as specified by the UGC in related regulations.

8. Programme Administration

- a. The PhD Programme of the University for all the disciplines shall generally be administered by the Centre for Research (PhD) except in the case of disciplines where the Department concerned is authorised to do so under the CU Regulation for Delegation of PhD Programme to Academic Departments 2018. Administration of the Programme starting from conduct of coursework and ending with Thesis Defense shall be coordinated by the Centre, by constituting scholarwise Research Advisory Committee (RAC) in line with Clause 1(b) of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 – RAC. RACs for the programmes administered by the Centre will have at least three members (preferably Professor or Associate Professor) from the related Department/s of the Research Discipline concerned. The RAC shall consist of a minimum of three members - Supervisor, Co-Supervisor/Subject Expert and a Subject Expert. Supervisor shall convene and chair the RAC meetings. The Dean of School, HOD and the PhD Coordinator shall be the permanent invitees for the RAC meetings. However, depending on the need of the Department/Scholar, the Centre may appoint the HOD/Department PhD Coordinator who is not below the rank of Associate Professor as the Chair of the RAC.
- b. There may be more than one PhD Coordinator of the Centre to coordinate RACs of specific Discipline Groups – Sciences, Social

Sciences (including Education), Commerce, Management, Engineering, Law etc – who shall be the Secretary responsible for compliance of all regulatory compliances under the guidance/supervision of the Director of the Centre. RACs shall be approved by the HOD of the department concerned or by the Head of the Department and Dean of the School/Campus as the case may be and forwarded to the Centre for Research.

- c. There shall be four RAC meetings for each research scholar each year until the submission of the Thesis. RAC meetings may be scheduled by the Department PhD Coordinator in consultation with the Supervisor of the scholar.
- d. Departments authorised to directly handle the PhD Programme shall do so in strict compliance of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 read with the procedures and guidelines thereto relating to RAC and the conduct of the programme.

9. Assigning the Research Supervisor

- a. The Centre for Research shall maintain a list of PhD Supervisors (specifying the name of the supervisor, designation, and department/school) along with details of PhD scholars (specifying the name of the registered PhD Scholar, topic of research and date of admission) admitted under them on the website of the University and update the list every academic year.
- b. The Centre for Research will present to the DC the list of disciplinewise selected candidates duly considering the permissible intake along with its recommendation for assignment of Supervisor for each candidate choosing from an already approved panel of Supervisors and in consultation with the Department concerned. In the same manner, the Centre in consultation with the Supervisor may also propose to assign a Co-Supervisor for candidates whose Research Proposal stretches its scope to multiple faculty disciplines.
- c. Every candidate provisionally selected for the PhD programme shall be assigned a Research Supervisor under whose guidance the PhD Research shall be carried out.
- d. The candidates whose research is interdisciplinary requiring guidance from multiple faculty disciplines may, at the request and consent of the Supervisor, be allotted a Co-Supervisor to guide the candidate on such specific areas as may be required. The Co-Supervisor shall work inclusively in collaboration with the Supervisor and not as an independent Supervisor.
- e. The Research Supervisor/Co-Supervisor will be allotted by the Centre for Research as specified in Clause 6(k) above and in accordance with their discipline expertise choosing from the pre-approved panel of Research Supervisors duly considering the number of scholars they are already guiding and the maximum number of scholars they are permitted to guide at any point of time.

- f. The Research Supervisor/Co-Supervisor shall be required to sign a declaration that he/she is not a relative of the candidate.
- g. No candidate shall be permitted to seek a particular Supervisor or to directly or indirectly influence the allotment of the Supervisor.
- h. The candidate while undergoing the coursework may start interacting with and/or acting on the guidance of the assigned Supervisor with regard to planning or scheduling their PhD Research including literature survey/ review, though however, all such interactions/actions taken shall have continuity and effect only subject to successful completion of the coursework by the candidate.
- i. The candidate and the Supervisor shall be required to sign a PhD Study Agreement in the form prescribed by the University, which will elaborate on the duties, responsibilities and compliance requirements to be abided by the candidate and the supervisor.
- j. The Research Supervisor and the Co-Supervisor shall be from among the full-time regular faculty of the University at the level of Professor/Associate Professor/Assistant Professor working in the Department of the applicable faculty discipline, who meet the eligibility conditions for PhD supervision. Centre for Research shall evolve adequate measures in case of assigning research scholars to persons holding academic administrative positions or having a say in the administration of the PhD Programmes to ensure professionalism and transparency.
- k. In case the specific additional expertise required for multidisciplinary/interdisciplinary research is not available within the University, there may be a Co-Supervisor appointed from recognized/approved external institutions provided the person so appointed meets the eligibility conditions for PhD supervision and has been duly empanelled by the University as per its Rules.
- l. The qualification/eligibility of Research Supervisor, empanelment procedure, limits of number of scholars for guidance, sharing of guiding with the Co-Supervisor, duties/responsibilities of the Supervisor/Co-Supervisor etc shall be as per UGC Guidelines (where applicable) and as specifically stated in the CU Regulation/Guidelines pertaining to PhD.
- m. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8)/ six (6)/four (4) PhD scholars, respectively, at any given time.
- n. In the case of relocation of a female/male PhD scholar due to marriage, or otherwise, the research data shall be allowed to be transferred to the Higher Education Institution to which the scholar intends to relocate, provided all the conditions in the regulations are followed, and the research work does not pertain to a project sanctioned to the University/Supervisor by a funding agency. Such scholars shall however give due credit to the Supervisor and University for the part of research already undertaken.
- o. Each Supervisor can guide up to two international research scholars on a supernumerary basis over and above the permitted number of PhD Scholars as specified in clause 9(1) above.

- p. At any point the total number of PhD Scholars under a faculty shall not exceed the number prescribed in above clauses.

10. PhD Scholarship, Fellowship, and Financial Assistance

- a. The PhD Scholars (post completion of coursework) of the University shall be entitled for performance-based financial assistance in accordance with the 'University Financial Assistance Scheme' for PhD Scholars as given in **Annexure I** hereto.
- b. The Scholars interested in availing the financial assistance shall apply for the same in the prescribed form as per the Scheme and on its approval the eligible amount of scholarship will be adjusted against the annual course fee payable. There shall be no cash payment of Scholarship.
- c. The full-time PhD Scholars of the University may also be awarded a Fellowship as per the University Scheme of JRF/SRF for PhD Scholars as given in **Annexure II** hereto subject to their eligibility and selection under the Scheme.
- d. The Scholars who are awarded JRF/SRF/such other external fellowship shall not be entitled for the University doctoral fellowships.

11. PhD Thesis Process

- a. Upon satisfactory completion of the coursework and obtaining the 'Course Completion Certificate' as per Clause 7(g), the candidate (Research Scholar) shall continue to carry out the research as per the approved Research Proposal under the guidance of the Research Supervisor.
- b. Prior to the commencement of the research work, the Research Scholar shall prepare a six-monthly work schedule with the help of the Supervisor.
- c. The Research Scholar in consultation with and approval of the Supervisor shall finalise the Research Proposal and title of the Thesis duly considering and reflecting the objectives and scope of the Research. This must be done within the first month of the allotment of the supervisor and be approved by the RAC by making a presentation. Any suggestions unanimously made by the RAC must be duly adopted. If RAC is not satisfied with the presentation, it may seek a repeat presentation within a month.
- d. Any change of the topic or major modification to the scope of study/ research design or research methods shall need the approval of the DC on the recommendation of the RAC based on presentation made to it by the Scholar
- e. No alteration in the PhD Thesis Title and /or its modification shall be permitted once it is approved by the DC except under exceptional circumstances with full justification for such change.
- f. Half yearly progress of research done shall be evaluated by the Supervisor and shall be presented to the RAC by the Research Scholar for its review and feedback. This requirement is mandatory.

- g. The Supervisor shall ensure that the Research Scholar is given or has access to the required research facilities including material, machine or laboratory support as may be needed for successful and timely completion of the research.
- h. The Research Scholar and the Supervisor shall ensure that the research work is done with due adherence to 'CU Regulation for Code of Research Conduct and Research Ethics' to the extent it may apply.
- i. There shall be at least two Doctoral Colloquia (yearly once) held within the duration of the PhD Programme. The Colloquia shall be organised at the instance of the Supervisor and in consultation with the Centre for Research/Department concerned as the case may be wherein the Research Scholars shall make a detailed presentation of their doctoral research work - its conceptual framework and progression - to an invited audience consisting of internal and external academicians, researchers and students. The Colloquia will have a discussion forum and the Scholars shall make use of the opportunity to enhance the value of their Research with inputs or suggestions that may be evolved by such discussion.
- j. The Research Scholar after due completion of the research shall produce a draft PhD Synopsis and Thesis thereof within the stipulated time limits but not earlier than two years from completion of the coursework, duly complying with the requirements under this Regulation. Any extension of time in this regard shall be as provided in Clause 2 of this Regulation.
- k. The Research Scholar shall make a presentation of the Thesis Synopsis before the RAC of the Centre for Research or of the Department concerned as the case may be, duly conducted for the purpose, which shall also be open to all faculty members of the discipline and other research scholars. The RAC may also invite an External Expert for the review of Synopsis Presentation. The feedback and comments obtained from all participants at the Presentation may be suitably incorporated into the Draft Thesis in consultation with the Supervisor. Approval of Thesis Synopsis by the RAC is a pre-requisite for submission of the Thesis for Evaluation.
- l. The Research Scholar shall ensure that the Thesis is not affected by plagiarism or any form of academic dishonesty. The Thesis shall have an undertaking from the Research Scholar and a Certificate from the Research Supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the University or to any other Institution.

12. PhD Thesis Submission

- a. Prior to submission of the Thesis for evaluation, the Research Scholar must publish the outcomes of the PhD work at least in two (2) research papers in a Scopus/Web of Science or the refereed/indexed journal

approved by the Centre for Research and make two paper presentations in conferences/seminars and produce evidence for the same in the form of presentation certificates and/or reprints. In place of one of the publications, a published/granted patent shall suffice.

- b. The Research Scholar must have complied with all the conditions specified under this Regulation, particularly of the PhD Thesis Process as contained in Clause 11 to be eligible for submission of the Thesis. There shall also be no arrears on account of fee payable.
- c. The Thesis must be prepared in strict conformity to the format specifications and style specified by the University for the Cover Page as well as the Content as provided in 'Appendix III: Common Guidelines for Format of PhD Thesis' as given in the RESEARCH section of CHRIST (Deemed to be University) website and must be submitted to the Centre for Research/Head of the Department as the case may be, in soft bound form, in three identical originals along with the specified Declaration, Undertaking and Certificate. In addition, the soft copy of the Thesis must also be sent to the Centre for Research at research@christuniversity.in.
- d. No Thesis shall be published in full prior to its final approval and completion of Viva-Voce Defense and without the approval of the University. The University may grant permission for publication with such conditions as it may impose.
- e. The thesis defended successfully shall be the property of the University.

13. PhD Thesis Evaluation

- a. The PhD thesis submitted by the Research Scholar shall be evaluated by the Research Supervisor and at least two external examiners from reputed Institutions, who are not in employment of the University of whom one examiner may be from outside the State of the location of the Campus/Off-Campus or the Country.
- b. The External Examiners will inter-alia examine whether the candidate has achieved the objectives mentioned in the Thesis while preparing the Evaluation Report on the Thesis as per the prescribed format. The Evaluation Report shall be sent directly to the Director of the Centre for Research.
- c. The public Viva-Voce of the Research Scholar to defend the Thesis shall be conducted only if the Evaluation Reports of both External Examiners on the Thesis are satisfactory and include specific recommendation for conducting the Viva-Voce Examination. If any one of the external evaluation reports is unsatisfactory and/or does not recommend Viva-Voce, the University shall get the Thesis evaluated by a third External Examiner out of the approved panel of examiners and the Viva-Voce Examination shall be held only if the report of the third examiner is satisfactory. If the report of the third External Examiner is also unsatisfactory, the Thesis shall be rejected and the Research Scholar shall be declared ineligible for Viva-Voce Examination and for the award of the PhD Degree

- d. If the Examiners recommend corrections or revisions to the Thesis submitted the Research Scholar will be obliged to incorporate the same in the Thesis in consultation with the Supervisor and only the updated version as so certified by the Supervisor shall be considered for Viva - Voce Examination.
- e. In exceptional circumstances any one External Examiner may seek re-submission of the Thesis for specific reasons and if it is so justifiable in the opinion of the RAC in its special meeting held for its consideration the Research Scholar will re-submit the Thesis within a maximum period of 30 days. If the RAC feels that there is no justification for re-submission, the Thesis will be sent for evaluation to a third External Examiner out of the approved panel of External Examiners. If the re-submission is requested by both the External Examiners the Research Scholar will re-submit the Thesis in consultation with the Supervisor without need for review by RAC for resubmission. The process of re-submission /decision of RAC in this regard shall be coordinated by the Centre for Research.
- f. The External Examiners shall be chosen at random by the Vice Chancellor or his authorised nominee from the panel of External Examiners consisting of five Examiners from within the state where the campus the research scholar has done the research is located and five Examiners from outside of that state in consultation with the Supervisor to the Centre for Research. External Examiners cannot be invited from Campus/Off-Campuses of the University. The Vice Chancellor or his authorised nominee shall choose up to two Examiners marking the order of preference from each category (within and outside the State of the Campus/Off-Campus) and the Centre for Research shall forward the Thesis to the selected Examiners, after seeking their acceptance, for its adjudication and Report as per the prescribed form. The service of the second preference Examiner shall be taken only when the first preference Examiner is not available or when reference to a third examiner is required under Sub- Clauses (c) or (e) above. External Examiners chosen shall be from reputed institutions of higher education, at Associate Professor level or above, with a proven record of supervising PhD Scholars and recent publications. Where the research topic is niche/in an emerging area and does not have sufficient experts who are Professors or Associate Professors, Assistant Professors may be considered in the panel of examiners. Qualified scientists/researchers from reputed research organisations who are active in quality research can also be included in the panel of examiners.
- g. The External Examiners shall be asked to sign a Declaration that he/ she is not a relative of the Research Scholar or the Supervisor or the Co-Supervisor and that he/she has no conflict of interest in adjudicating/valuing the PhD Thesis. A faculty member who has resigned from the rolls of CHRIST University is not eligible to serve as an external examiner until three years has lapsed since resignation from the University.
- h. The External Examiner is normally given 30 days time to evaluate the Thesis and to submit the Report which may be extended up to 45 days on specific request. If the Examiner fails to complete evaluation even

after extension of time or fails to communicate on the evaluation status in spite of reasonable follow up, the External Examiner will be advised to return the Thesis and the same will be sent to another External Examiner duly following the specified procedure as provided in Sub-Clause (f) above.

- i. The Centre for Research will be the coordinating body to complete timely evaluation of the PhD Thesis of all disciplines (including that of the PhD Programme directly conducted by the authorised Departments) and shall ensure that the evaluation process is completed within a maximum period of 120 days from the date of submission of the Thesis.

14. PhD Viva-Voce

- a. The Research Scholar whose Thesis has been duly evaluated as per Clause 13 shall present for a public Viva-Voce Defense Examination organised by the Centre for Research/Department concerned as the case may be, with the assistance of the Research Supervisor/s. The Public defense will normally be held within 60 days from receipt of Report of Evaluation from all the Examiners.
- b. The Research Scholar shall submit four (4) copies in original of softbound Thesis duly incorporating all the corrections/revisions suggested by the Examiners in consultation with the Supervisor and otherwise completed in all aspects (declarations/Certificates) as required by this Regulation at least 15 days prior to the Viva-Voce date.
- c. It shall be the responsibility of the Research Scholar to coordinate with the Centre for Research for timely communication about/invitation for the Viva-Voce to a large group of audience and to ensure essential convenience and facilitation for the visiting Examiners /Special Invitees.
- d. The Viva-Voce examination, based among other things, on the critiques given in the Evaluation Reports, shall be conducted by the Research Supervisor in the presence of at least one of the two External Examiners who evaluated the Thesis, all of whom together will constitute the Board of Examiners for the Viva-Voce. The Viva-Voce Examination shall be open to be attended by Members of the Research Advisory Committee, all faculty members of the Department/s concerned, other research scholars and invited/ interested experts/researchers.
- e. The Viva-Voce shall be for a minimum duration of 60 Minutes including the question-answer session and may be conducted online.
- f. The Research Scholar shall present the Research Thesis before the Viva-Voce Examination Board in an open forum of audience and shall adequately respond to the Thesis related queries raised or clarifications sought. The Board of Examiners based on the performance of the Research Scholar shall prepare jointly their Report on the proceedings with specific individual recommendation as per the prescribed format. The Viva-Voce Evaluation Report duly signed by all Examiners shall be sent to the Director of the Centre for Research with a copy (mandatory) to the Controller of Examinations.
- g. If the majority view of the Examiners is to have a repeat of the Viva-Voce for reasons and with such suggestions that may be specified, the Research Scholar shall appear again for the same on a future date which shall be held not later than 90 days from the first Viva-Voce. The

Research Scholar in this regard shall be required to pay the specified Fee and to comply with the requirements stated in Sub-Clauses (b) and (c) above.

15. Notification and Award of the PhD Degree

- a. The Centre for Research will consolidate the Viva-Voce Report and present the same to the Controller of Examinations with recommendation for award of the Degree subject to favourable comments by the External Examiners.
- b. On fulfilment of the requirements for the award of the degree, the Controller of Examinations/the Registrar in coordination with the Centre for Research shall notify the award of the degree on the Official Letter Head of the University which will have details of (a) The name of the candidate, (b) the Discipline/Subject of the PhD. (c) the names of Research Supervisor and Co-Supervisor (if any) and (d) The Title of the Thesis.
- c. Pursuant to the Notification and prior to the actual award of the Degree subject to ratification by the Academic Council/Board of Management, the University by the Controller of Examination/the Registrar shall issue a Provisional Certificate to the Research Scholar in the specified format with a declaration that the Degree has been awarded in accordance with the provisions of the UGC Regulations, 2022.
- d. Prior to the issue of the Notification of award of PhD degree, an electronic copy of the Thesis shall be submitted to INFLIBNET through the University Librarian.
- e. Actual award of the Degree shall be in the subsequent official Convocation of the University as per the prescribed Rules.

16. Cancellation of PhD Registration

- a. The PhD Registration of the candidate shall be cancelled forthwith under any one or more of the following circumstances:
 - i. Unsatisfactory progress and failure to implement corrective measures suggested by the RAC. In such a case, the RAC may recommend, with specific reasons, the cancellation of the registration of the PhD scholar from the programme.
 - ii. False declaration or fraudulent claims in respect of eligibility
 - iii. Non- payment of prescribed Fee within specified/extended time.
 - iv. Direct or indirect influencing in the appointment of Supervisor/s.
 - v. Non-completion of the coursework as prescribed.
 - vi. Indulging in unethical research practices or academic dishonesty, including plagiarism.
 - vii. Failure to comply with mandatory requirements under this Regulation.
 - viii. Failure to submit the Thesis for Evaluation within the specified/ extended time.
 - ix. Failure to appear for Viva-Voce.

- b. Plagiarism is a serious academic offence and will be dealt with as guided by the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018. (UGC Regulation on Plagiarism) duly adopted by the University as 'Regulation for the Promotion of Academic Integrity and Prevention of Plagiarism, 2019.'
- c. If the candidate is proved to be guilty of repeated offense of plagiarism at any time during the PhD Programme in respect of his/her PhD Research, not only will it lead to cancellation of Admission but also the candidate may be disqualified to apply in future for any PhD Programme of the University.
- d. If the PhD Thesis of the candidate is proved to be inflicted by plagiarism after award of the PhD, the University may decide to cancel and withdraw the Degree awarded by an Official Notification in which case the Supervisor/s concerned may be stripped of eligibility for continuation of existing supervision and/or to supervise in future the PhD Programme of the University.
- e. Any suo-motu observation by the University or its Examiners or by any complaint received from other sources about plagiarism concerning the PhD Research or the Thesis shall be examined by an Expert Committee appointed by the Vice Chancellor in accordance with the UGC Regulation on Plagiarism. The findings of the Committee shall be adjudicated and decided by the Vice Chancellor or his nominated Official in the presence of the candidate and the Supervisor/s concerned, and any decision taken shall be binding on the candidate and the Supervisor/s concerned with no appeal thereon.

17. Removal of Difficulty

- a. Any matter concerning the PhD Programme which is not specifically stated or provided for in this Regulation shall be referred to the Vice Chancellor or to the DC as may be approved by the Vice Chancellor whose direction /decision on such matters shall be duly documented and be made binding on all concerned.
- b. Any dispute or difference of views between the Candidate and the Supervisor or between the Supervisor and the Co-Supervisor with regard to the PhD Research shall be heard and resolved by the Centre for Research without involving the interested parties in the decision making. If the matter is not resolved by the Centre for Research, it will be referred to the DC and the decision of the DC shall be final and binding.

18. Revision of Regulations

- a. The University may from time to time revise, amend or change its PhD Regulations depending on the directions it may receive from the UGC which may be prospective or retrospective.
- b. The University may from time to time revise the scheme of Examinations, the Syllabus for Coursework, the Thesis Evaluation

procedure, the Viva-Voce procedure, the Fee Structure, the Scholarship/ Fellowship Scheme etc in respect of its PhD Programme which shall be normally prospective unless specified to have retrospective effect in respect of specific matters.

Approved: 3 December 2022

Notified: 5 December 2022

(Dr Anil Joseph Pinto)

Registrar

Appendix I: CU Regulation for Delegation of PhD Programme to Academic Departments 2018

(As Addendum to CU Regulation for the Degree of Doctor of Philosophy 2022)

Policy:

CHRIST (Deemed to be University) endeavours to follow stringent quality norms in the conduct of its PhD Programmes in the matter of Course Conduct, Assessment of Research Progress and Evaluation and Acceptance of the Thesis for award of the Degree. The Regulation for the award of PhD Degree has been accordingly framed duly following the guidelines prescribed by the UGC. However, with a view to standardise quality compliance norms, the responsibility for the PhD Programme Conduct has been centralised and has been vested with the Centre for Research (PhD) headed by a Director who will be accountable for all Regulatory aspects of the Programme. Nevertheless with almost ten years of centralised PhD Course administration it is felt necessary to empower the competent academic departments to handle and administer the PhD Programmes directly with centralised support from a General Coordinator.

Regulation:

1. This Regulation shall be called 'CU Regulation for Delegation of PhD Programme to Academic Departments 2018' and shall be an addendum to the CU Doctoral Regulations 2016 and shall not be a standalone Regulation.
2. No Academic Department shall be permitted to directly conduct the PhD Programme unless the Department has sufficient number of duly approved PhD Supervisors with reasonable number of Publications to their credit. It shall be the responsibility of the Department to empanel their eligible faculty with the approval of the Doctoral Committee.
3. The Department/s has to be specifically authorised to conduct the PhD Programme by written approval of the Vice Chancellor subject to such conditions as may be imposed.
4. The Department/s authorised to directly conduct the PhD Programmes shall do so strictly in accordance with the CU Doctoral Regulations 2016 except that the Head of the Department and/or PhD Coordinator of the Department shall assume the role of Centre for Research (PhD). However, the Doctoral Committee for the time being shall continue to remain a centralised authority as specified in the CU Doctoral Regulations 2016 with suitable representation from the department concerned.
5. All admissions to PhD Programmes shall be administered by the Office of Admissions and the PhD Coordinator of the Department concerned must be responsible for organising the Entrance Test and Personal Interview in consultation with the Director, Admissions.
6. There shall be a General Coordinator nominated by the Director of the Centre for Research (PhD) to independently oversee the

Regulatory and Quality compliance by the Department and shall be authorised to report on any deficiency in the conduct to the Vice Chancellor, after due discussion of such deficiency with the Head of the Department.

7. The Department shall be responsible for the proper conduct of the PhD course work in accordance with and as prescribed in the CU Doctoral Regulations 2016.
8. The Department shall ensure that the Supervisors assigned to the PhD Scholars do conduct their role and responsibilities according to the CU Doctoral Regulations 2016 and for the purpose shall have periodic interaction with the PhD Scholar as well as the Supervisor.
9. Strict adherence to periodic progress reporting to the Doctoral Committee and Synopsis Review by the designated Committee for approvals etc as specified in the CU Doctoral Regulations 2016 shall be the responsibility of the Department and any lapse in this regard as may be reported by the General Coordinator shall disqualify the Department from continuing the Programme and in such case the Centre for Research shall take over.
10. This Regulation of 'CU Regulation for Delegation of PhD Programme to Academic Departments 2018' as Addendum to CU Doctoral Regulations 2016 and came into effect from the Academic Year 2018-19 and has been so approved by the Vice Chancellor.

(Dr Anil Joseph Pinto)
Registrar

Appendix II: Guidelines for Research Advisory Committee

(Under Clause 9 of the CU Regulation for Delegation of PhD Programme to Academic Departments 2018 read with the Operational Procedures and Guidelines thereto)

1. Constitution of the Research Advisory Committee

- a) Every academic department offering PhD Programme shall constitute a Research Advisory Committee (RAC) for each of its PhD scholars, who shall hold office till the completion of PhD by the Scholar concerned unless a vacancy of any member is caused by retirement or otherwise.
- b) The RAC shall consist of a minimum of three members - Supervisor, Co-Supervisor/Subject Expert and a Subject Expert. Supervisor shall convene and chair the RAC meetings. The Dean of the School, the HOD and the PhD Coordinator of the Department shall be the permanent invitees for the RAC meetings.
- c) The Subject Expert nominated to RAC must have adequate competence in the specific research domain with a reasonable number of Publications and must have post-doctoral teaching/research experience of at least three years.
- d) Nomination of the Subject Expert must, as far as possible, be from within the Department/University and shall be done by the HOD in consultation with the Supervisor and the Dean. Nomination of external Expert may be considered only in case of non-availability within and may be done with the approval of the Dean.
- e) Nomination of Subject Expert must be duly recorded and documented with the following details.

Name	Title	Department	Qualification	Exp (Yrs)	Publish (Nos)

- f) Scholarwise RAC details including the specified details about the Subject Expert must be furnished to the Centre for Research as soon as the same is constituted for the purpose of its records. Any change in the constitution of the RAC must also be informed to the Centre for Research duly mentioning the reasons for change.

2. Functions of the RAC

a. Review of the Syllabus for Elective Courses for Course Work

The RAC may suo motu suggest or shall review and comment on the prescribed syllabus for the domain based Elective Courses of coursework for the Programme to the Board of Studies of the Department for its consideration.

b. Initial Review and Approval of Research Proposal

RAC shall review the Research Proposal of the PhD scholar based on a formal presentation of the same by the Scholar. RAC may suggest /advise for inclusions or deletions in the scope of study, on the research methodology, relevant literature review and such other significant areas as may be highlighted by the Research Supervisor. The Committee may approve the proposal subject to such conditions or directions it may impose, however it shall give due weightage to the viewpoints expressed by the Supervisor/Co-Supervisor and the Subject Expert.

c. Periodic Review of Research Progress

The RAC must meet periodically to review the Research Progress to be presented by the Scholar which shall not be at intervals of not more than 6 months. Any suggestion given by the RAC shall be duly noted and shall be checked for its inclusion/ consideration by the Scholar in his/her subsequent presentation. If there is any lapse in this regard the RAC may seek an immediate re-presentation.

d. Review and Approval of Final Synopsis

The RAC shall examine the Final Synopsis presentation by the Scholar with due regard to its objective, quality of research data and its analysis with reference to the conclusions and validations. Without the unanimous approval of RAC no Thesis shall be allowed for submission-or Evaluation.

e. Recommending Thesis Examiners

On approval of the Final Synopsis the Scholar shall complete the Thesis as per the prescribed norms and submit the same to the Head of the Department/ Supervisor.

The RAC shall consider the names of the proposed examiners that may be submitted by the Supervisor. The list of names as may be approved by the RAC along with the Thesis submitted by the Scholar shall be forwarded to the Centre for Research by the Head of the Department.

3. Meetings of RAC

The meetings of the RAC must be regularly held duly convened by the Supervisor. All the members of the RAC are expected to be present in all the meetings of the RAC.

(Dr Anil Joseph Pinto)
Registrar